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2011

An IS Perspective on Managing Change in a University

KA Johnston

A thesis presented for the Degree of
DOCTOR OF PHILOSOPHY
in the Department of Information Systems
UNIVERSITY OF CAPE TOWN
08 August 2011



An IS Perspective on Managing Change in a University

by

Kevin. A. Johnston

*A thesis presented for the
Degree of Doctor of Philosophy
in the Department of Information Systems*

UNIVERSITY OF CAPE TOWN



Supervisors: Dr. Lisa Seymour & Professor Johannes Cronjé

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Declaration

I hereby declare that “An IS Perspective on Managing Change in a University” is my own work, and all sources have been acknowledged through referencing.

Signed by candidate

Signature removed

University of Cape Town

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Thank you to Bonnie, Nicky and Moira who have given me so much love, encouragement and support, and who have sacrificed so much in helping me to complete this thesis. I would not be here if Bonnie had not been with me throughout the journey. I owe an everlasting debt to my two daughters Nicky and Moira. Nicky for persuading me to complete my Master's degree all those years ago, and for insisting I set a good example. Moira for suggesting I move into academia, and editing parts of my writings. My mother and father, who always believed in me; Dad, it is what you always wanted.

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I have been deeply privileged and fortunate in having lived in a time and place that allowed me to question, think, and work. I am conscious that there are many places in the world today, which would not have allowed me the space and time to develop and question as I have.

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An IS Perspective on Managing Change in a University

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ABSTRACT

This thesis aimed firstly to explore what is happening with respect to change in a South African university, and how this change affects those involved, viewed from an IS standpoint. The focus is on determining the essence and nature of organisational change in its usual situation.

Founded in 1829, the University of Cape Town is South Africa's oldest university, and is currently Africa's leading teaching and research institution. In addition to an assortment of challenges and changes facing universities globally, the University faces unique changes in South Africa. These changes have implications for information systems, as they lead to questions relating to the components of information systems, namely, people, technology, processes, and information.

An interpretive epistemology with a qualitative approach and case study research methodology were used to conduct the research. The grounded theory method was used to analyse the data.

The key finding is that the individual is central to change in universities (and, it is submitted, to organisations in general). All individuals facilitate permanent and ongoing change through their conversations and actions. Change takes place continually and organically, and is not controlled by one individual (or group of individuals), or strategy. Each proposed change, can be viewed from an IS perspective and hence university management should appreciate and understand the change influences present in the organisation, and they should question the appropriateness of the strategy, change process, culture, organisational structure, business processes and IT. The IS perspective makes it clear that each of these aspects may need to be changed for successful change to take place. This could be done by engaging in conversations with individuals throughout the organisation, and actively leading the change. The research outcome is a landscape which highlights these key aspects in managing change.

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Prologue

All the theoretical work in this thesis is related to areas of interest to me, the writer. I was the general manager of the information technology department of a major corporation for 12 years and am currently a senior academic at the University of Cape Town. I occupied a management position at the University as Head of Department of Information Systems (IS) for a period of three and half years, I am augmenting my experience, insight, and desire for an improved university management system better able to manage change through this thesis. Because of this 'insider' view, I have been careful to remain self-reflective.

Some may desire a more purist approach to IS research than what is presented herein, in that this thesis deals not only with four elements making up an IS i.e. people, processes, information, and technology, but also looks at the human and social issues underpinning them. I feel that an investigation of the four aspects of IS is crucial for a proper understanding of the topic and a synthesis of the main findings into a change management landscape that can be used on a widespread basis.

Chapter 1 : Introduction

This thesis is concerned with determining how change is managed at a University, and how the change affects the employees of the University from an Information Systems (IS) perspective. University management deals with a multitude of aspects, including funding, teaching, research, student throughput, social engagement, change, and many others. This research focuses on the aspect of change in a university. Whether change is viewed as illusionary or real, universities are difficult to change (Jansen, 2009b). Four major change initiatives were surfaced by respondents during the research at the University of Cape Town (UCT): a strategic change to transform the staff and student bodies, the reengineering of business processes, a change to the assessment of staff performance, and the implementation of a key information system. These change initiatives were referred to as Transformation, AIMS, RFJ, and PeopleSoft respectively.

As with so many new disciplines, there is no single accepted definition of Information Systems (IS), nor in fact what the “essence or core of the discipline” is (Klein & Hirschheim, 2008, p. 281). Four concepts are common to many of the definitions of IS. These are **People, Technology, Processes, and Information**, and they combine to define IS as a means by which People use Technology to Process Information (Alter, 2008; Chaffey & Wood, 2005; Ward & Peppard, 2002).

People within organisations form relationships not only with other people, but also with technology, processes, and information (Stacey, 2009). Consequently, the on-going changes in organisations can result in complex people and social issues, and unpredictable responses (Stacey, 2009). People are affected by many factors, including relationships between employees, customers, suppliers, competitors, unions, government, and society, as well as skills, experience, competency, knowledge, background, culture, structure, processes, and information (Grant, Hackney, & Edgar, 2010; Ilbury & Sunter, 2007). Technology includes all information and communication technology, while business processes are any processes that deliver a service or product to an internal or external customer

(Hammer & Champy, 1993). Information can include databases, documents, shared knowledge, and unrecorded discussions and commitments (Alter, 2008).

Several authors (Stacey, 2009; Tsoukas & Chia, 2002) emphasise the need for research into change. Howcroft and Trauth (2004, p.196) state that there is a “research need to examine and assess the ways in which information systems are used and affect people.” The research challenge is “to examine the relationship between information systems and the organizations and societies within which they are embedded” (Howcroft & Trauth, 2004, p. 196). This thesis deals not only with the impact of change on the four elements making up IS, i.e. **people, technology, processes, and information**, but also explores the human and social issues underpinning them. Organisations are subjected to the constantly changing and dynamic internal forces of strategy, individuals, technology, processes, and structure, and influenced by culture(s) and the external socioeconomic and technological environments as shown in Figure 1 (Scott Morton, 1991). The role of management is to manage the change processes of all the forces and influences so that the organisation accomplishes its objectives.

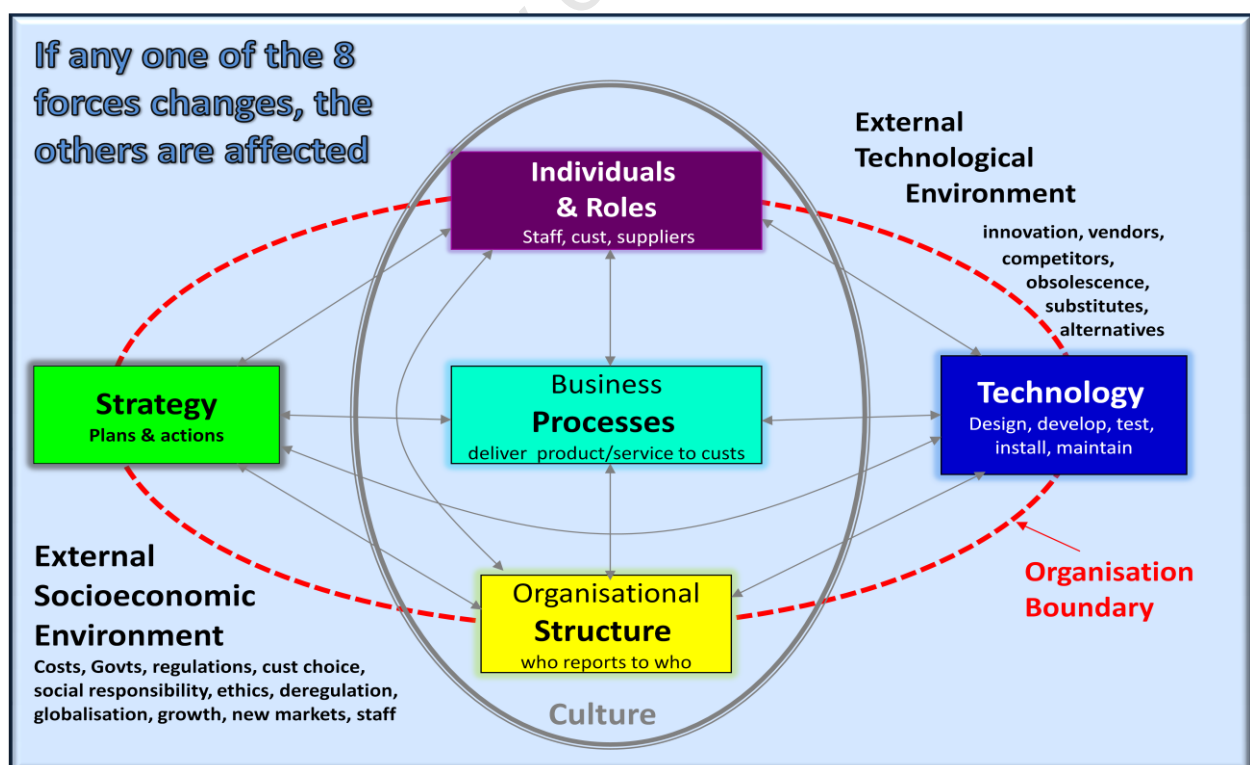


Figure 1: Adapted Scott Morton Framework of Forces on Organisations (Scott Morton, 1991, p. 20)

Change is built into the very fabric of an organisation, and thus has to be managed. All forces (socioeconomic and technological environments, strategy, culture, structure, processes, technology, individuals) can and do change, and alter the equilibrium and outcomes (Scott Morton, 1991). The failure of organisations to invest heavily and early in people issues relating to change can have a detrimental effect on the overall change process (Scott Morton, 1991).

Evidence from IS Journals suggests that, generally speaking, there exists either a poor understanding of how change should be managed or, alternatively, inadequate application of well-understood principles. This is particularly true in relation to technology and IS induced change. Organisations have become more and more reliant on IS to improve their business processes and ways of working (Bassellier, Benbasat, & Reich, 2003; McKeen & Smith, 2004). However, despite the increased dependence on IS, IS project success rates are still low (Preuss, 2006; Standing, Guilfoyle, Lin, & Love, 2006). The low success rates of IS projects cannot be attributed to poor applications in many cases today, as the same applications are used successfully in many organisations. An examination of IS literature reveals many conflicting and confusing articles on how to manage change.

1.1. AIM OF THIS RESEARCH

The aim of this research is to **explore what is** happening with respect to change in a South African university, and **how does** this change affect those involved, viewed from an IS standpoint. The focus is on determining the essence and nature of the phenomenon of organisational change in its usual situation. This uncovering of emerging patterns would flow from the perceptions of the people interviewed, documentation, and observations. The research outcome is a landscape which highlights key aspects in managing change.

Burrell and Morgan (1979) divided social science research into four research paradigms based on two dimensions: the nature of social science (horizontal) and the nature of society (vertical). The nature of social science can be subjective (experience, beliefs and assumptions of the researcher guide their interpretation of social world) or objective (observations of researcher guide their research) as shown in

Figure 2. The nature of society varies between a society of radical change (characterized by structural conflicts and domination) and a society of regulation (characterized by cohesiveness and solidarity) (Cronjé, 2011; Roode, 1993).

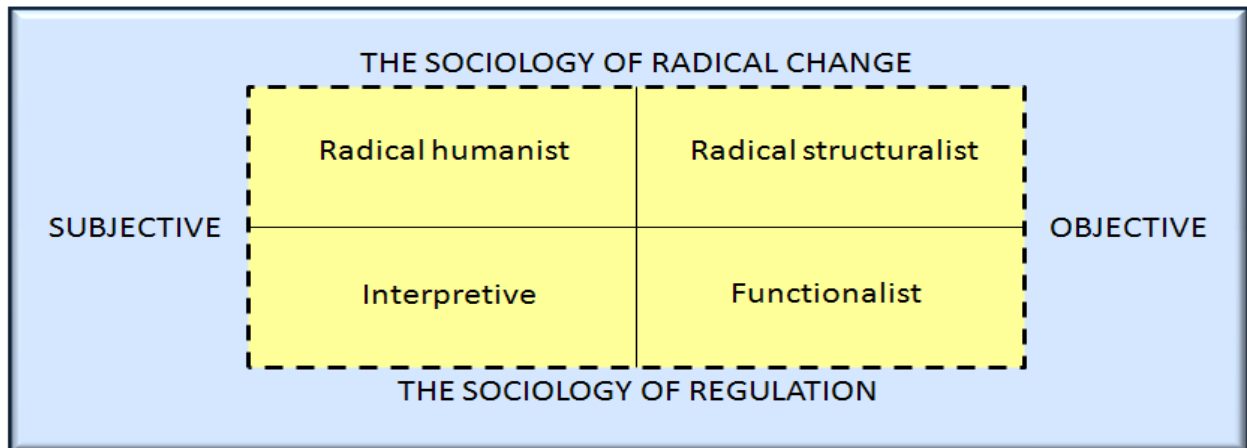


Figure 2: Four paradigms for the analysis of social theory (Burrell & Morgan, 1979)

This research is working in the 'Radical humanist' quadrant of Burrell and Morgan (1979). "Radical humanists are interested in the subjective world, but feel the need to transcend or even overthrow current societal arrangements. Their aim is to *"explore alternatives"* (Cronjé, 2011, p. 2). The questions essentially ask, "What is the current situation?" in order to change it.

This research aims to answer the following ten research questions regarding a specific organisation, the University of Cape Town (UCT):

1. **What are the *change influences*** which contribute positively or negatively to the implementation of change?
2. **How does the organisation generate, communicate, and implement change *strategies*?**
3. **How does the organisation conduct and institutionalise the *change process*?**
4. **How do *culture*** and dimensions of culture affect change processes in the organisation?
5. **What are the effects of *organisational structures*** on change?
6. **How do *business processes*** influence change?
7. **How does the organisation use *IT*** to contribute to change?
8. **How do *individual*** staff influence, shape, and respond to planned change?

9. **How do** small *incremental changes* affect a managed change project?

10. **What are** the effects of the *outcomes* of a planned change?

From a theoretical perspective, this research has relevance in that it proposes a landscape to assist in exploring how to manage change in universities, and to highlight possible alternatives. Universities have been criticised for being archaic and inflexible (Gunn, 1995) in a world in which they should be reflecting on and adapting to the continuously varying global conditions (Senge, Scharmer, Jaworski, & Flowers, 2004), and preparing people for a better world (Le Clézio, 2008). Thus, universities should be in the forefront of understanding change.

1.2. WHY IS THIS RESEARCH IMPORTANT NOW?

There are numerous examples of problematic business processes and information systems at Universities (Monk & Wagner, 2009) and, in South Africa, problems in accommodating all races (Dugger, 2010; Jansen, 2009a). There is a need to guide managers in African universities so that they may manage universities more efficiently (Tumwine, 1996).

For African universities to be accepted as excellent universities they will have to manage change in a complex organisation, and strive for some sort of equilibrium of the internal forces operating on the university within a changing environment. Understanding the elements of the Scott Morton framework (Figure 1) may allow universities to change the way they operate by understanding opportunities and alternatives, which may in turn allow them to prosper in a globally competitive environment (Scott Morton, 1991). Understanding how the patterns of continuity and change are created by local human and social interaction will allow organisational continuity (Stacey, 2009). The development of effective change management processes for any organisation requires a clear understanding of the structure and operating procedures of that organisation, as does the effective flow of information, business processes, and information systems.

The problem is important as all Universities are competing globally, and if African universities do not adapt to change and run optimally, they will be unable to compete with foreign universities, will lose academics, students and staff, and finally become redundant. One assumes that universities in Africa are similar to universities in the rest of the world, and although UCT portrays itself as an African university (Price, 2008), with a diverse student population and funding constraints, it is actually a highly ranked global university. At present UCT is the highest African University listed in the QS World University Rankings 2010, at number 107, Alexandria University in Egypt at number 147 is the only other African University in the top 200 (Times University Rankings, 2010).

1.3. THE RATIONALE OF THIS RESEARCH

The rationale for this research is to contribute to the exploration of managing change from an information systems perspective (people, technology, processes, and information) at a large, diverse, changing African university in a dynamic environment by creating a theoretical landscape which could then be explained.

The research hopes to contribute to the unfolding stories about change in organisations, and in a special type of organisation, namely a university. Various studies have detailed aspects of management and change in universities (auf der Heyde, et al., 2007; Hayes & Utecht, 2009; Moran, 2007), but few (Jansen, 2009a) seem to deal with how universities and in particular African universities are actually managing that change, nor what the effects are on the people within them. This research hopes to motivate African universities to improve how they manage change, and in particular IS changes, by providing a setting or landscape which they can understand. African universities need African examples to learn from, so they can compete successfully, improve their rankings, and be regarded as excellent.

1.4. RESEARCH METHOD

Change is portrayed as a multi-faceted phenomenon. In order to examine this phenomenon the case study method has been chosen. "A case study is an empirical inquiry that investigates a contemporary phenomenon in depth and within its real-life context, especially when the boundaries between

phenomenon and context are not clearly evident” (Yin, 2009, p. 18). This research is based on a single detailed case study of the phenomenon of managing change within the real-life context of the University of Cape Town (UCT) in South Africa. An in-depth case study was deemed appropriate to explore and develop an understanding of change management in the context of a university, and to explain the phenomenon in a rich and holistic manner. UCT provided subjects to interview, a wealth of documents and artefacts, opportunities for observation, and four change initiatives to examine. The four change initiatives were firstly a strategic initiative called transformation to change the people, structures, processes and culture of the university, secondly an initiative which focused on changing the business processes (AIMS), thirdly a change to how staff performance is assessed (RFJ), and fourthly the installation of a major information system (PeopleSoft). It was expected that rich cognitive insights would emerge from interviewing executives, academics and administrators within the institution. Documents and artefacts that provided information about the university were reviewed and analysed. Grounded theory methods were used to code the data collected, the codes were then grouped into concepts from which categories were formed (Allan, 2003). Chapter 3 expands on the research design and method, and justifies the exploratory single case study.

1.5. THE BENEFITS OF THIS RESEARCH

The management of change in universities is a complex issue, with many facets, and has been extensively debated and researched by various authors (auf der Heyde, et al., 2007; Barnett, 2005; Bentley, Habib, & Morrow, 2006; du Toit, 2000; Green, Eckel, & Hill, 1998; Gunn, 1995; Moran, 2007; Olsen, 2005). Universities have diverse stakeholders and therefore face complex and different managerial issues to those faced by businesses or governments (Sathye, 2004). Several authors have highlighted certain key areas of concern and have called for improvements to be made in specific areas (Mora, 2001; Moran, 2007; Schofield, 1996; Tumwine, 1996). After exploring what is happening with respect to change, and how it affects the people in the university, this research highlights alternative approaches to managing change by providing a theoretical landscape.

Information systems are an integral part of any university, and have a two-fold responsibility in a changing environment. Firstly, information systems need to respond to the changes happening, and facilitate the production of better results with fewer resources. Secondly, information systems need to assist a diverse and knowledgeable group of people to deal with and respond to the changes.

1.6. BACKGROUND

The structure of traditional universities forty to fifty years ago was simple, with well-understood divisions between administrative staff and academics, with the academics responsible for the management of these institutions. Information systems introduced new and novel ways to manage organisations (Duchessi & Chengalur-Smith, 2008). Universities have become more complex and sophisticated institutions, and are increasingly being run as businesses by managers, as opposed to as collegiate institutions run by academics (Deem, 1998; du Toit, 2000).

However, it should be recognised that universities do not fit the traditional mould of for-profit organisations, and therefore require a unique approach to management. University employees can be divided into two categories of administrative and academic staff. Whilst the administrative personnel are generally viewed as typical employees in that they are expected to have qualified competence, job descriptions, line managers, reporting structures and so on, academic personnel are viewed differently. Academics do not share the same working conditions as their administrative counterparts and have more autonomy. They are regarded as part of the broader university community and are expected to engage in intellectual debate, thinking and questioning (du Toit, 2000), something which is not expected of the administrative staff. Furthermore, academics are given more leadership opportunities, and traditionally, assume the most powerful leadership positions (for example, as members of Senate). This contributes to the general perception that administrative staff occupies a lower position in the university hierarchy than academic staff.

Students present another area of variance in that they are not the typical customer. Students are required not only to pay for a service and the use of facilities, but also to deliver products and value in

order to acquire what it is that they paid for (i.e. a university degree or diploma). Universities also have an academic nature, which calls for a different way of examining and viewing effects and events. The numbers of students has not only increased in recent years, but also their influence and participation in the management of universities has increased (du Toit, 2000). In the twenty-six years between 1980 and 2006, the number of university students worldwide increased by 173% (Rinne, 2009). Student bodies have a far more diverse social profile than they did when universities were originally conceived of (du Toit, 2000). Whereas in the past universities were socially elitist institutions, placement in which was reserved for the privileged few, today obtaining a tertiary education has become the norm, certainly of the middle class (Rinne, 2009). It is important to bear these unique complexities in mind when searching for an appropriate way of managing change at a university, where the component parts such as the faculties, departments and people, change constantly (Englebright & Pettit, 2005). There are also many other changes facing universities, among them are changing technologies and business processes. These changes have implications for information systems, as they lead to questions relating to the components of information systems, namely, people, technology, processes, and information.

1.7. MY PERSPECTIVE

In qualitative research, the researcher's position in terms of experience and research needs to be explained (Bryant, 2002).

Jansen (2009a) writes about African Universities and the need for change and organisational research, and this research resonates with Jansen's work. Like Jansen, I was part of "the South African generation that lived under and after Apartheid" (Jansen, 2009a, p. 1). I was born and grew up in Umtata, Transkei, the first so called 'independent' black homeland. My parents were white English speaking blue-collar workers. I grew up in a deeply segregated society; white English speakers did not mix easily with white Afrikaans speakers, and almost never openly with black people. Although the white English school I attended was across the road from a white Afrikaans school, we never played sport or mixed in any way. Blacks we met and interacted with were mostly domestic servants. I was

never part of the in-crowd at school, I was always the youngest in my class, did not distinguish myself at sport. I value my personal independence, and am not a member of any union, club, religious group, social organisation, or political party.

I have held a range of jobs, including draughtsman, barman, political organiser, and teacher, before various positions in information systems. I spent twenty-two years in information systems, starting as a programmer, and ending as a general manager. I was fortunate to experience a wide spectrum of IS functions including programming, development, project management, change management, production, networking, database management, procurement, and strategic planning. I spent 18 of the 22 years in the financial services industry, ten of which were in general management. I have ten years of academic experience including three and a half years as head of department. Although I have lived my whole life in Africa, I have travelled extensively to all continents other than Antarctica.

Given this experience and my background as a mature Caucasian male, it is inevitable that I come to this research with several prejudices and assumptions. These include views that universities should be managed in a more business-like fashion, should be more open to change, should be more flexible, and should maximise efficiency. People should be more accountable, there should be fewer committees, and decisions should be made in an open transparent inclusive manner. I continually experience frustrations with processes in universities. I have two daughters and feel strongly that females continue to be discriminated against in many aspects including research and literature. I believe that South Africa needs to move to a more equitable society in terms of race, gender, wealth, education, health etc. not simply to redress the inequities of the past, but to build a sustainable future. I am reasonably comfortable with uncertainty and prefer to look to the future for certainty. "Faced with the ephemeral nature of the present, and the ever-changing nature of the past, many flee into the future and seek certainty there" (Wallerstein, 2004, p. 2). I believe that there is no absolute truth or single reality, no perfect answer to most questions; we should be continually questioning and discussing truth and reality. Different people experience a similar incident differently. People do not obey universal rules or laws,

and no two people are alike. Each person creates their own reality, there are multiple views on any issue, and it is difficult to predict how people will behave.

My perspectives and biases could have an impact on my findings and interpretations; I tend to favour the underdog, generalists, people who speak out, who are flexible and open to change. I hope to minimise my biases by stating them openly, by constant reflection, and by actively seeking people who I am uncomfortable with to interview. As Bryant (2002, p.35) said “research is an active engagement undertaken by researchers with their own assumptions, cultural backgrounds and predilections; and it is better to admit this and then seek to explicate the process as one of dialogue rather than as some form of dispassionate and detached analysis.”

Because of my background, I wanted to do research into change; and how change is managed in an academic environment. I believe that my IS background and experience adds a different dimension to viewing and managing change in such an environment.

1.8. STRUCTURE OF THESIS

The thesis contains seven chapters. The first chapter introduces the aim and rationale of the thesis. Chapter two is a Literature Review which unpacks the major themes of change identified for this study, and concludes with the questions to be explored. Chapter three covers the research methodology and the research methods used to answer the questions raised. Chapter four provides background to the institution being investigated, the University of Cape Town (UCT). The analysis and results are documented in Chapter five, which interprets and conceptualises how change is managed in UCT through a combination of data from interviews and documents. Chapter six develops the landscape, and discusses its implications using the four change projects identified by the respondents. The thesis is concluded in chapter six.

Chapter 2 : Literature Review

The literature search was conducted using UCT Libraries and Google Scholar to find relevant journal and conference articles. UCT Libraries electronic resources and in particular the S.F.X Citation Linker, were used to source a range of articles in the fields of Information Systems, Organisational Change, and Higher Education. The citation feature of Google Scholar was used to source additional articles in the three fields. Citations within articles were followed, which led to a wider range of articles in journals and conferences, as well as books.

The wide range and number of articles is both a plus and a minus. The plus is that an extensive and dynamic range of articles from numerous sources with various different views was found. The minus is that the large assortment made finding relevant and convergent articles difficult. I did all the literature searches, and may have inadvertently missed or overlooked certain articles, and my keyword choices, and combinations of keywords could have caused omissions.

The literature was organised into sections which were framed by information systems (people, technology, processes, and information) and the Scott Morton framework (1991). The sections channelled the literature to a research question. The first section covers **change influences** such as the socioeconomic and technological environments. Change influences **strategy** which then initiates a **change process**. The next five sections are **culture, organisational structure, business processes, information technology, and individuals**. The final two sections cover **additive effects** and **outcomes**.

2.1. CHANGE INFLUENCES

Literature was examined to determine the change influences which have contributed to change in universities. Western universities form part of a world university system (Wallerstein, 2004), and most universities are similarly organised into faculties and departments. These faculties and departments are periodically reorganised and renamed, and new ones added (Wallerstein, 2004) but for the most part, universities remain unchanged in their basic organisation. This is not true, however, of the socioeconomic environments in which they find themselves. "In some respects, the idea of the

university – even its practice – has remained largely unchanged” (Price, 2008, p. 3), but in other respects such as global rankings, competition, funding formulae, relationships with students and the state, almost everything has changed (Rinne, 2009).

The two strongest change related themes which emerged are massification and managerialism. After examining these two themes, their influences on change in higher educational institutions are reviewed.

2.1.1. Massification

Massification (or “academic consumerism”) refers to the massive increase in the numbers of students and staff at higher educational institutions which began after World War I, and accelerated after World War II (Barnett, 2005; Gumport, 2000; Rinne, 2009). In the 1970s, demand for the inclusion of women, underrepresented groups and mature students led to another sharp rise in student numbers and a concomitant increase in the number of staff required (Barnett, 2005; Boughey, 2009; Rinne, 2009). The university as an institution moved from the periphery (solely for the privileged elite) to the centre of society, and the struggle to cope with ever-expanding student numbers began (Rinne, 2009; Wallerstein, 2004).

In 1900, less than one percent of tertiary-age people were enrolled in higher educational institutions globally (Schofer & Meyer, 2005). Increasingly the world is requiring higher levels of education for a wide variety of social positions, and more young people are seen as appropriate candidates for higher education. The educational system is now more open and seen as a means for ‘unlimited progress’. The result of these trends is that “developing countries now have higher enrolment rates than European countries did only a few decades ago, and currently about one-fifth of the world cohort is now enrolled in higher education” (Schofer & Meyer, 2005, p. 898) as shown in Figure 3. In some countries, the enrolment ratios are as high as 80 percent, which could lead to the “possibility of universal higher education” (Schofer & Meyer, 2005, p. 898) at some point in time.

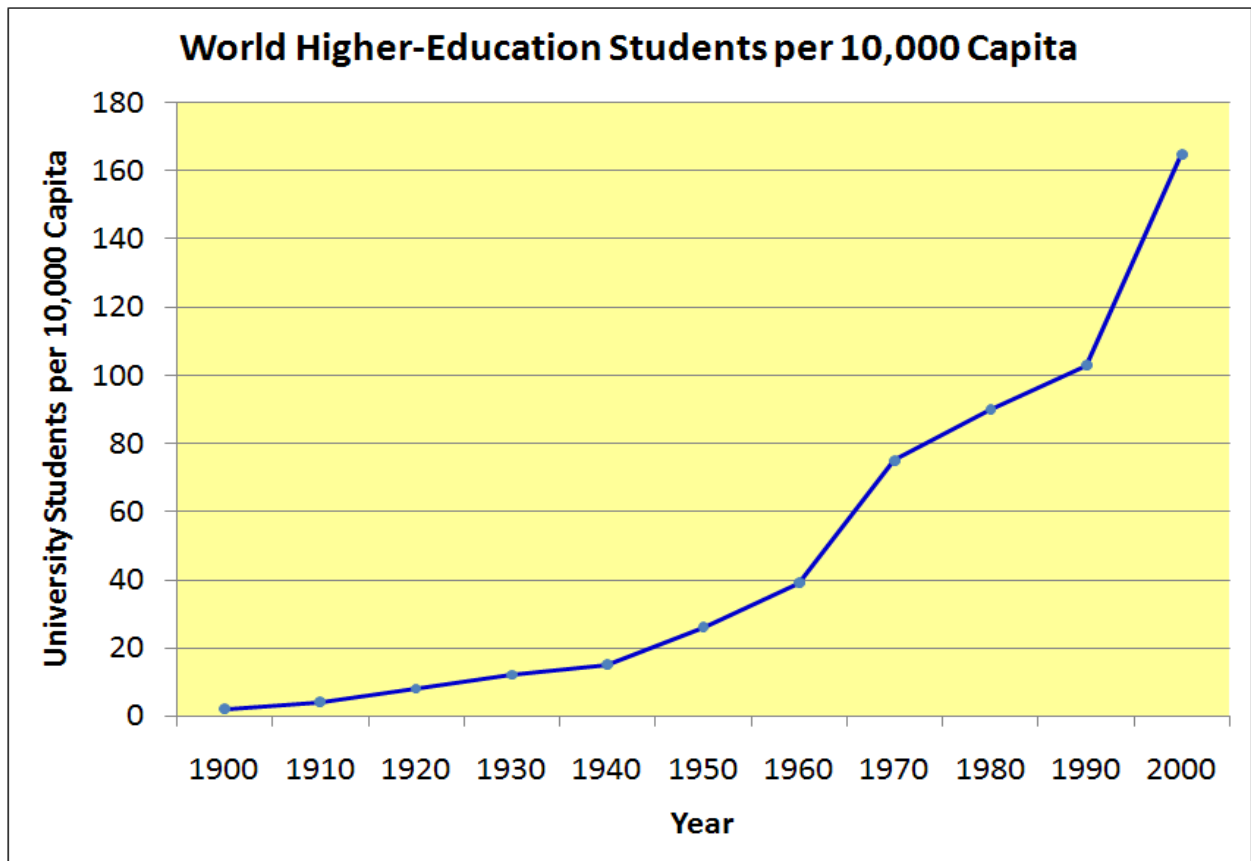


Figure 3: World Higher-Education Students per 10,000 Capita 1900-2000 (Schofer & Meyer, 2005)

Numerous socioeconomic reasons have been given for the global increase in student numbers, including the development of human rights, democratization, ideas of human capital, commercialisation of higher education, and the information age (Grummell, Devine, & Lynch, 2009; Schofer & Meyer, 2005).

Countless articles have highlighted the many changes produced by massification (Barnett, 2003; Boughey, 2009; Gumport, 2000; Henkel, 1997; Ntshoe, Higgs, Higgs, & Wolhute, 2008; Rinne, 2009). Massification has created new values, new modes of working (Henkel, 1997), rearranged academic subjects, created new academic subjects and destroyed others, based on the use and value to a broader society (Gumport, 2000). Massification has led to the role of students in the governance of universities becoming more significant (Pusser & Loss, 2006). Several authors have expressed concerns that massification could lead to a lowering of standards and quality of education (James & Harris, 2010; Lines & Shah, 2010).

As student numbers increased, other trends such as budget cuts, pressures for efficiency, funding tied to objectives, and the introduction of evaluation systems created demand for improved and more professional governance (Rinne, 2009). In the late 1990s, it was correctly predicted that universities would become more managerial (Schofield, 1996) and they soon began applying modern management techniques from the private sector (Gautier & Wauthy, 2007). Massification and the increased level of competition between higher educational institutions led to the introduction of management techniques to improve the efficiency and quality of services (de Jager & Gbadamosi, 2010). Universities face expectations to improve access, enhance quality, and cut costs whilst being expected to embrace new, costly and often unproven information and communication technologies (Gumport, 2000).

2.1.2. Managerialism

Managerialism is a term generally used to describe how public sector organisations such as universities have increasingly adopted forms of organisation, technologies, management practices, and values from the private sector (Deem, 1998). Management techniques such as strategic planning, management by objectives, performance appraisals, decentralised budgeting, fewer levels of decision-making, flatter administrative structures, executive dashboards, and outsourcing have been introduced into universities (Barnett, 2003; du Toit, 2000; Rinne, 2009). In 2003, the European Commission acknowledged that non-academic professional managers could successfully be employed to manage complex universities (Olsen, 2005), and many universities uncritically followed the growing trend and adopted a managerial approach to the running of their operations (Hayes & Utecht, 2009; Mowles, Stacey, & Griffin, 2008). Managerialism can be thought of as an ideology which “regards managing and management as being functionally and technically indispensable to the achievement of economic progress, technological development, and social order within any modern political economy” (Deem, Hillyard, & Reed, 2007, p. 6). A great deal has been written about managerialism and its effects on higher education (Barnett, 2003; Gautier & Wauthy, 2007; Habib, Morrow, & Bentley, 2008; Marginson & Rhoades, 2002; Moratis & van Baalen, 2002; Pusser & Loss, 2006). Universities have seen an increasing emphasis on accountability, performance management, productivity, commitment, risk

management, quality assurance, and professional standards (Baird, 2010; Grummell, Devine, & Lynch, 2009; Ntshoe, Higgs, Higgs, & Wolhute, 2008).

Managerialism has been a major change as even up to the early 1990s, it was unacceptable to many to suggest that the activities and cultures of universities needed to be professionally managed. The perception was that universities were “communities of scholars researching and teaching together in collegial ways” and the running of universities was in the hands of academic leaders rather than managers (Deem, 1998, p. 47). Managerialism changed universities from ‘communities of scholars’ into ‘workplaces’, and many academics feel that universities have lost their unique culture (Deem, Hillyard, & Reed, 2007). The culture in most universities is perceived to have become less collegial and more bureaucratic (auf der Heyde, et al., 2007; Ramphele, 2008).

The cultural change from collegiality to managerialism affected the organisational structures of Universities, which according to Richards (2010, p.125) “often fall under Mintzberg's ‘Professional Bureaucracy’”. Administration has been centralised and, in many universities headed by a Registrar who often became “custodian of all laws, regulations, and procedures governing the academy” (Ramphele, 2008, p. 217), and Deans are often not accountable to their respective faculties, but rather to central management (Jansen, 2009b). This resulted in an increase in the importance and the power of administrators (Pusser & Loss, 2006).

Many individual academics feel they have lost control over their work (Deem, Hillyard, & Reed, 2007), as the focus of power shifted from academics to administrators (du Toit, 2000; Habib, Morrow, & Bentley, 2008). Administrators and administrative committees assumed responsibilities which had previously fallen to academics and with this change, the status, influence, and authority of most academics declined (du Toit, 2000; Jansen, 2009b; Schofield, 1996).

2.1.3. *Additional influences*

South African universities face an additional and important change influence labelled 'transformation', which aims to address unequal and inequitable distributions of power in terms of race, gender, and class (Herman, 2010; Ismail, 2011; Jansen, 2009b).

There is some lack of understanding, and a degree of resistance to change in higher education (Fernandez Diaz, Santaolalla, & Gonzalez, 2010). While most academics appear to accept massification, many struggle to accept some of the consequences of managerialism such as public accountability, new forms of governance and increased competitiveness (Henkel, 1997; Ntshoe, Higgs, Higgs, & Wolhute, 2008). Coaldrake and Stedman (1999) suggest that academics have noted that massification and managerialism have put pressure on their time, workload, and morale, and have emphasised performance, professional standards, and accountability. The work of academics is becoming more specialised and demanding, and the distinctions between categories of staff are becoming blurred.

As market forces such as massification, public accountability (socioeconomic changes) and technological changes (IT) have driven managerialism, and caused cultures, structures, processes, technologies, and roles of individuals to change, universities have been urged to review and revise their strategies (Deem & Brehony, 2005; de Jager & Gbadamosi, 2010; Moratis & van Baalen, 2002). These are the forces outlined in Figure 1. In short, whilst massification and managerialism have made university management more accountable (auf der Heyde, et al., 2007), this accountability has come neither cheaply nor easily.

This discussion, leads to the question, **What are the *change influences*** (such as massification and managerialism) which contribute positively or negatively to the implementation of change?

2.2. STRATEGY

As outlined in section 2.1, universities are facing numerous change influences such as massification and managerialism. Clearly, there is a need to face these challenges, and develop strategies to manage these and other changes. The successful implementation of strategy requires the ability to manage and communicate organisational change (Hempel & Martinsons, 2009). Similarly, organisational change frequently flows from a clear strategic plan.

Much of the literature on strategy implementation overlaps with change management. A strategic change can affect people, technology, processes, structures, suppliers, and business partners making it difficult to implement strategic change programmes (Franken, Edwards, & Lambert, 2009). “Strategic execution requires systemic thinking” (Morgan, Levitt, & Malek, 2007, p. 11), as a change in one area can affect other areas (Scott Morton, 1991). There is frequent mention of attracting, allocating, and managing the resources needed to deliver the change programs that will deliver the strategy (Franken, Edwards, & Lambert, 2009). The strategy implementation literature also stresses the importance of culture and communication. It is of interest that this literature refers to practitioners being “left in a state of confusion when having to decide which approach is most appropriate for their situation” (Franken, Edwards, & Lambert, 2009, p. 49). This is similar to the confusion facing IS practitioners when they have to decide on an approach for implementing a system.

Organisational strategy is concerned with an organisation’s basic direction for the future: how to move an organisation from its present position to some future desired position (De Kluyver & Pearce II, 2006). This process can be ordered around three questions: “Where are we now? Where should we go? How do we get there?” (De Kluyver & Pearce II, 2006, p. 11). These questions lead to a mission statement which should be a clear definition of the overall purpose of the organisation (Fréry, 2006). Defining a compelling purpose (mission) for an organisation is considered by some to be one of the key management functions (Denning, 2010a).

Part of the value of a strategic plan is that it can achieve strategic alignment by applying strategy in an appropriate and timely way, in harmony with all business units (Luftman, Kempaiah, & Nash, 2006). One perspective on the strategic process is that executives control the process by setting goals, and then monitoring actual results against those targeted so that all gaps can be closed (Grant, Hackney, & Edgar, 2010; Lovallo & Sibony, 2010; Schermerhorn, 2001). This view suggests that the process is pro-active, and management attempt to change the organisation to reach certain aspirations (Eden & Ackermann, 2000).

Recent writers have drawn on the work of Mintzberg, and suggest that the strategy setting process is emergent and iterative rather than a sequential process (Grant, Hackney, & Edgar, 2010; Stacey, 2009). This view seems more applicable to universities as universities have inconsistent ill-defined loosely coupled goals, plus employees who invest varying amounts of time and energy in the organisation (Weick, 1979). In any strategy, one must assume that everything is going to change during the execution of the strategy, and that strategic planning is an iterative process, not an annual exercise (Barney & Hesterly, 2006; Grant, Hackney, & Edgar, 2010).

Implementing a strategy requires managing various activities to achieve the planned objective and is the responsibility of executives (De Kluyver & Pearce II, 2006). Although responsible for the implementation of the strategy, the executives need to communicate the strategy to all staff, so that staff may enact it (Stacey, 2001). Some argue that middle managers need to participate in the setting of strategy, as well as the implementation of strategy (Franken, Edwards, & Lambert, 2009).

Ideally, the plans and actions that need to be taken should be clear to all staff (Barney & Hesterly, 2006). Leaders need to “communicate the change message in order to convince others to follow, and maintain an organizational culture conducive to change” (Franken, Edwards, & Lambert, 2009, p. 51). The second question driving this study therefore is **how does** the organisation generate, communicate, and implement change **strategies**? Once a strategy has been formulated in an organisation, a change process is usually initiated to enact that strategy.

2.3. CHANGE PROCESS

Organisational change has been a recurrent theme in many journals, and as far back as 1995, there was a report of “a count of one million articles relating to organizational change” (Fernandez & Rainey, 2006, p. 168). In 2009 and 2010 alone, MIS Quarterly published nine papers relating to change (Table 1).

Area	Authors
The role of or use of expectation-disconfirmation theory	(Venkatesh & Goyal, 2010)
Circuits of power	(Smith, Winchester, Bunker, & Jaimeson, 2010)
A long-term multi-project model of factors affecting organisational benefits from enterprise systems	(Seddon, Calvert, & Yang, 2010)
Emotions	(Beaudry & Pinsonneault, 2010)
Organisation-system fit	(Strong & Volkoff, 2010);
Peer-support	(Sykes, Venkatesh, & Gosain, 2009)
A non-reductionist model for conceptualising technology adoption	(Sarker & Valacich, 2010)
Intention, habit and emotions	(de Guinea & Markus, 2009)
Status quo bias perspective	(Kim & Kankanhalli, 2009)

Table 1: Papers in MISQ relating to change.

However, this huge body of work abounds with complexities, including multiple and conflicting theories and research findings and much inconclusiveness. Some of the theories suggest that the purposeful action of managers drive change, whilst others downplay this aspect. Some introduce aspects of power, whilst others emphasise culture, norms and even emotions. In short, there are a plethora of organisational change papers ranging from simple “how to” guides to esoteric theories. No IS practitioner could be expected to understand or apply all of these theories, yet an understanding of change management is a key to orchestrating change (De Kluyver & Pearce II, 2006). Managers often do not understand or ignore, overlook, or underestimate the factors for change (Kotter, 1995).

Many of the theories and models of change are influenced by or loosely based on Lewin’s 1947 idea of change as a linear three stage process of unfreeze-change-refreeze (Fernandez & Rainey, 2006; Weick, 2000). An alternative view is that change is continuous, fluid, and a cyclical process (Senge, Scharmer, Jaworski, & Flowers, 2004; Streeck & Thelen, 2005; Volkoff, Strong, & Elmes, 2007; Weick, 2000).

Models and frameworks based on Lewin's (1947) stages of change describe the process of implementing change within organisations, and discuss the factors considered to contribute to success (Fernandez & Rainey, 2006, p. 168). Consequently, a majority of change studies regard the change process as a simple, linear progression (Lyytinen & Newman, 2008, p. 589).

2.3.1. Models of Change

The Scott Morton (1991) model discussed in Chapter 1 emphasised the need to manage the change processes of eight forces (Figure 1). Hempel and Martinsons (2009) offer a model of change which adds two feedback loops to a traditional model of change. These are shown in Figure 4, and suggest that feedback takes place between the contextual factors that provide the initial stimulus for the change, and the realised performance outcome(s), and between the change objectives, the change process, and the enacted system. The model also provides for the impact of contextual factors on the initial stimulus, the change objectives, the change process, and the achievement of performance outcomes from the enacted system.

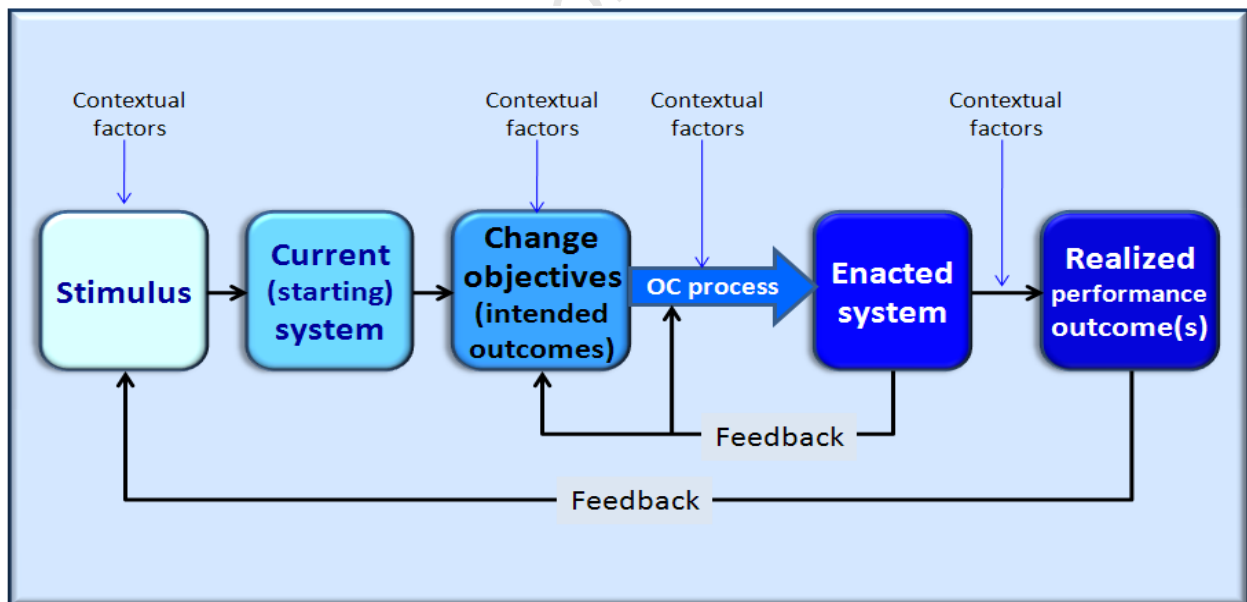


Figure 4: Expanded fundamental components of organisational change (Hempel & Martinsons, 2009)

Hempel and Martinsons (2009) stress four key components of the model. These are:

- “change criteria, the outcomes (and objectives) of change;
- change process, the means by which change is brought about;

- *change content*, the substance of the change that occurs; and
- *change context*, internal and external situational factors that influence the change initiative” (pp. 461-2).

Fernandez and Rainey (2006) present a list of eight factors similar to Kotter’s (1995) eight steps to transforming an organisation. The factors commence with ensuring the need, and verifying and communicating that need. The remaining factors focus on providing plans, obtaining support from top management, political overseers and key external stakeholders, overcoming resistance, providing resources, institutionalising and embedding change and pursuing that change. Fernandez and Rainey (2006) argue that the change process is not a linear progression through successive stages, and that the process rarely unfolds in a simple linear fashion. They observe that the factors have additive effects, and each factor can contribute to the successful implementation of change by adding to the effects of other factors. They contend that many change leaders ignore, overlook, or underestimate these factors (Fernandez & Rainey, 2006).

Streeck and Thelen (2005) refer to the unfreeze-change-freeze models as punctuated equilibrium models, as these models take the view that institutional stasis is periodically interrupted by “some sort of exogenous shock that opens things up, allowing for more or less radical reorganization” (Streeck & Thelen, 2005, p. 1). They consider that this view takes an incorrect view of what really happens.

Weick (2000) takes a similar view and observes that change in organisations is “ongoing, continuous, and cumulative” (p. 225). Because of this, organisations are already unfrozen, so attempts to unfreeze or refreeze could be disruptive to a working system.

Tsoukas and Chia (2002) support the contention that change should be treated as a normal and natural condition or state for any living or evolving thing (such as an organisation) and not treated as exceptional or unusual.

The garbage can model of organisational choice has been proposed for certain types of organisations particularly universities (Cohen, March, & Olsen, 1972). This model views decisions as chance outcomes from “several relatively independent streams within an organization” (Cohen, March, & Olsen, 1972, p. 3). The analogy is that various problems and solutions (garbage) are continually and randomly dumped into a can by participants, the mixture in the can changes continually, and garbage (problems and solutions) are periodically removed as choices are made (Moratis & van Baalen, 2002).

Many of the organisational change models point to the need for some structure to the change process in order to manage these effects. Most of these commence with some statement or declaration of the purpose of the change. For example, the Hempel and Martinsons (2009) model refers to the stimulus for change whilst the Scott Morton (1991) framework refers to strategy, plans and actions.

2.3.2. Clear Vision and Leadership

An important part of the change process is a need for a clear vision and leadership to provide overall direction for the change and to obtain commitment from individuals in the organisation (Armenakis & Bedeian, 1999; Fernandez & Rainey, 2006). The communication of a shared vision needs on-going interaction and exchange of ideas with all stakeholders and participants (Fernandez & Rainey, 2006).

It is important to have an individual who maintains momentum and commitment to change. This individual or ‘champion’ can coordinate disparate actions and overcome obstacles (Armenakis & Bedeian, 1999; Fernandez & Rainey, 2006). As in the public sector, (Fernandez & Rainey, 2006), the nature of the organisational structure in universities does not lend itself to the natural development of a champion. Not only are most universities led by academics and researchers but also, in Britain as well as in South Africa, many of the managers and vice chancellors are white men appointed in their fifties (Breakwell & Tytherleigh, 2010, p. 493). This does not bode well for those who are attempting to overcome prejudice and bias against women and people of colour.

Change tends to generate uncertainty and resistance; and an unbiased leader with a clear understanding of the reason for and the nature of the change (vision) helps to overcome this uncertainty and resistance (Fernandez Diaz, Santaolalla, & Gonzalez, 2010; Kan & Parry, 2004). A question for all organisations is, does the organisation have a leader with a clear well communicated vision?

2.3.3. Resistance and acceptance

Change management has been defined as “the process of assisting individuals and organizations in passing from an old way of doing things to a new way of doing things” existing practices, processes and routines must be abandoned and new ones discovered and developed (Lorenzi & Riley, 2003, p. 200). This ‘new way of doing things,’ can be a source of resistance. Resistance to change is often a resistance to moving into unknown and untried territory as people are reluctant to let go of old expectations, identities or behaviours (Marks, 2007). In addition, organisational change tends to provoke strong emotions. Good leaders can bring these emotions to the surface to deal with them. This involves empathy for the difficulties involved, creating an understanding of, and support for the need for change, stimulating excitement about the possibilities, and helping organisational members cope with the new situation (Marks, 2007).

Organisational members have a natural reaction to anything that upsets the status quo and set up defences against the change. This may be manifested in general opposition to change or resistance to specific aspects of the change (Klaus & Blanton, 2010). Universities generally have strong uncertainty avoidance as academics would rather talk than act, and hence devise defences of the status quo (Green, Eckel, & Hill, 1998; Moran, 2007).

The tipping point or critical mass is defined as the point at which enough individuals in an organisation have adopted a planned change, so that any further adoption of the change becomes self-sustaining (Cook, Holley, & Andrew, 2007). As change management processes take place, more and more people move from the existing to the intended procedures, practices, processes and systems.

(Cook, Holley, & Andrew, 2007). At the tipping point, the change gains support and momentum and resistance is reduced.

2.3.4. Institutionalising the change process

It is important to reinforce and institutionalise the change process through actions such as modifying formal structures, instituting or changing organisational procedures and practices, training, pilot projects, and even rites and ceremonies that support the change (Fernandez & Rainey, 2006; Harding & Pooley, 2007). One of the ways to enhance understanding of the change process is to put directives and procedures in place concerning the change process (Baltzan & Phillips, 2008; Fernandez & Rainey, 2006).

Most change models refer to the importance of providing, redeploying, or redirecting scarce resources. The provisioning of resources includes making funds available, providing administrative and technical capacity such as employing and training additional staff, and enabling the development of new processes, procedures, information systems, and practices (Armenakis & Bedeian, 1999; Fernandez & Rainey, 2006). Failure to provide adequate resources could lead to failure of the change process (Fernandez & Rainey, 2006; Marks, 2007).

The change process needs to be monitored and reported on through reports and feedback, and evaluation meetings. Monitoring people's attitudes through surveys, interviews, and feedback helps to reduce resistance, and involve people in the process (Marks, 2007). Monitoring should continue for a period after the change is implemented to ensure that the old ways are not reintroduced (Armenakis & Bedeian, 1999; Fernandez & Rainey, 2006). The effects of change should be monitored, as change initiatives often move into new paths, and leaders may need to make corrections (Harding & Pooley, 2007; Marks, 2007). Section 2.3 leads to the question (3), **how does** the organisation conduct and institutionalise the **change process**? Many change processes are troubled by cultural issues which divide rather than unify, and change can facilitate cultural change (Marks, 2007).

2.4. CULTURE

Hofstede (1991) defined culture as “the collective programming of the mind which distinguishes the members of one group or category of people from another” (p. 5). Hofstede (1991) identified four main dimensions of culture: power distance (PD), uncertainty avoidance (UA), masculinity-femininity (MAS), and individualism-collectivism (IND). These dimensions can throw light on the implementation of IS change projects as detailed by Martinsons, Davison, and Martinsons (2009). A high power distance makes it easy to authorise and initiate reengineering, but it is less likely that formal IS plans or process models would be developed. A high power distance would make it more difficult to complete the reengineering smoothly (Martinsons, Davison, & Martinsons, 2009). A high level of individualism results in creativity and innovation in process redesign, but reduces the possibility of the building of effective teams to develop and operate IS applications (Martinsons, Davison, & Martinsons, 2009). In an assertive culture, there would be acceptance of rapid and discontinuous change but a need for material rewards to overcome resistance to change (Martinsons, Davison, & Martinsons, 2009). High uncertainty avoidance would make it likely that formal IS plans or process models would be developed. However, in high uncertainty avoidance cultures there would be resistance to rapid and discontinuous change, such as BPR (Martinsons, Davison, & Martinsons, 2009).

The dimensions of culture provide a useful way to assess culture, particularly with regard to IS driven change. The dimensions can have various properties such as racism (PD), sexism (MAS), resistance to change (UA), and inclusion (IND). These properties are not exclusive to one dimension, as sexism for example could be included in all four dimensions.

2.4.1. Power Distance (PD)

Higher educational institutions in South Africa have the cultural change labelled ‘transformation’ to deal with. Transformation in South African higher educational institutions addresses unequal distributions of power in terms of equity and access, particularly related to race, gender and class (Herman, 2010; Ismail, 2011; Ngcaweni, 2010). De Jager and Gbadamosi (2010) stress that the

transformation (or change) of South African Higher Educational institutions is both essential and urgent. Although several governments are committed to improving the participation and success rates of students from equity groups who are underrepresented in higher education (Lines & Shah, 2010), South African faces a greater challenge given the historical legacy of Apartheid (de Jager & Gbadamosi, 2010). A brief social history of South Africa which explains the background to the transformation imperative is offered in Chapter 4.

Attempts to redress the unequal distribution of power have resulted in giving student admission preferences based on race. Black students often wonder whether they have been chosen for their capability or their colour. They often find affirmative action offensive, even though they concede that poor black applicants may still need it (Dugger, 2010). A less discussed aspect of the attempt to redress the extent to which racialism and sexism is entrenched in South Africa's university system is that of staff, particularly academic staff (Dugger, 2010).

Whilst it is difficult for those in previously disadvantaged groups to obtain admission or employment and to gain promotion, it is also difficult for those in the organisation to gain acceptance and reduce the difference in status between staff. There is considerable evidence of exclusion, bullying, and dissention in universities (Lewis, 1999; Salin, 2003).

The dynamics of inclusion and exclusion in organisations creates fear and anxiety in individuals (Stacey, 2001). Workplace bullying has been defined as "repeated and persistent negative acts towards one or more individual(s), which involve a perceived power imbalance and create a hostile work environment" (Salin, 2003, pp. 1214-1215). Workplace harassment, bullying or mobbing, as it is known in Europe is not uncommon in higher education institutions, and includes aspects such as excessive criticism, victimisation because of a personal complaint, setting impossible deadlines or objectives, withholding information, gossip or rumours, undervaluing efforts and social isolation (Lewis, 1999; Salin, 2003).

Personal causes of bullying include aspects such as being outspoken or over inquisitive (Lewis, 1999). Others may also take advantage because of perceived vulnerability due to factors such as illness or sexual orientation (Lewis, 1999). Of particular interest are the factors identified in higher education institutes. It is noted that these factors have been identified as contributing not only to bullying but also to racialism and sexism. They include: “short-term contracts and job insecurity; the organisation's values and beliefs; funding pressures; power imbalance between managers and academics and a lack of professionally trained managers” with the latter two being the most prominent factors (Lewis, 1999, p. 113-114).

Many universities experience status and power differences between academics and administrative staff which results in tension and dissention (du Toit, 2000; Habib, Morrow, & Bentley, 2008; Pusser & Loss, 2006). Academics often “express bitter resentment at the weight and type of administration” in their jobs (Henkel, 1997, p. 141). Administrators are suspicious of the independent workers who come and go when they please and have a strange form of accountability, so they institute more and more bureaucracy. When academics assume administrative roles, they are out of their comfort zones and generally do not perform well (du Toit, 2000).

Ismail (2011) refers to “a great divide of rank between junior and senior academic staff, and between administrative and academic staff” (p. 3). In South Africa there are many black and female staff members at the lower ranks in both academic and administrative posts. This could result in discrimination between junior and senior staff (Ismail, 2011). Percentage wise there are more black administrative staff members than black academic staff members. In addition, there are differences in culture between administrative departments and academic departments. The key to performance in organisations with specialists (academics) and administrators is connecting the two in collaborative work (Agranoff, 2008). Academic freedom which is exclusively for academics could be viewed as an additional exclusion. It is not surprising that there can be discrimination and polarisation along the lines

of race, gender, rank, or status (Ismail, 2011). This dissention can restrict performance and increase the avoidance of change (uncertainty).

2.4.2. Uncertainty Avoidance (UA)

Generally, universities have high uncertainty avoidance (Green, Eckel, & Hill, 1998; Moran, 2007), Herman (2010) and Ismail (2011) reported uncertainty avoidance in South African universities. Herman (2010) noted that there was a strong and active resistance to change, particularly amongst academics. Resistance to change in South Africa has however become less overt and direct according to Surtee and Hall (2009). People “have acquired the ability to ‘say the right thing’ while at the same time failing to translate their assertions into practice” (Surtee & Hall, 2009, p. 43).

Organisations with high uncertainty are “characterized by problematic preferences, unclear technologies, and fluid participation. Problematic preferences are ambiguities in each step of the decision-making process. Unclear technology produces an inability to determine cause-and-effect relationships because there is so much random activity. Fluid participation is the rapid turnover in participants and the limited time available for any one decision” (Tarter & Hoy, 1998, p. 217).

The complexity and diversity of a university requires the institution to “incorporate ambiguities and to manage uncertainty” (Henkel, 1997, p. 136). Yet ambiguity and uncertainty are avoided in universities by reducing ambiguity in decision-making by centralising decision-making, by discouraging debate, and by vesting authority in seniority rather than in talent (Herman, 2010). Furthermore, there is a strong repugnance to deviation from the norm, and to any form of conflict in South African educational institutions (Herman, 2010). Even discussions about contentious issues are avoided and perceived as dangerous (Ismail, 2011); this gives rise to feelings of resentment, anger, and disempowerment (Herman, 2010). When offered the opportunity to express their feelings, many feel “a sense of relief” (Ismail, 2011, p. 5). Ismail (2011) stated that she was conscious that discussing feelings and emotions, rather than facts and figures could be understood as a weakness in a University.

Although the annual academic staff turnover rate at UCT is low (below 5%) (Moran, 2007), there is a high turnover among the less than 20% black staff (Ismail, 2011). This indicates uncertainty avoidance by the majority of the academic staff, but an embracing of uncertainty by a minority, resulting in the maintenance of the status quo with white males in control (Ismail, 2011).

2.4.3. Masculinity-Femininity (MAS)

In South Africa, there is still a dominance of older white males in senior academic positions (Dugger, 2010). Studies in 2000, 2002, and 2007 showed low numbers of female, black and disabled staff in academic posts particularly senior positions. In addition, few people from these groups apply for or obtain promotion (Ismail, 2011). It seems that there is insufficient capacity and incentive to change (Herman, 2010). In addition, the “institutional cultures of universities ... still bear their distinctive racial birthmarks expressed in dominant traditions, symbols and patterns of behaviour” (Herman, 2010, pp. 490-491). This culture has and will continue to inhibit transformation (Herman, 2010). The authority and credibility of university members can be undermined by reactions of others to both gender and race. These biases are systemic and “are taken for granted and not ordinarily open to interrogation” (Ng, 1993, p. 191).

The culture of many universities in South Africa, have what Jansen (2009a) refers to as “a gendered and sexualised knowledge of the past” (p. 165). Jansen (2009a) suggests that this is derived from historical customs and practices among whites in South Africa. For example, traditionally, women were expected to be subordinate to men, and people of colour had virtually no meaningful role (Jansen, 2009a). Whilst there have been steps to redress this situation in South Africa’s employment equity provisions, insufficient change has taken place in universities (Jansen, 2009a).

The perceptions and experiences of black and female university staff in South Africa were predominantly negative (Ismail, 2011). The university culture was often described as chauvinistic, cold and competitive (Ismail, 2011).

South African universities are not alone in discriminating against women. In universities in the Netherlands, women were found to be “greatly outnumbered by men in positions of formal power, authority, high status and high income” (Timmers, Willemsen, & Tijdens, 2010, p. 719). In all 14 universities in the Netherlands, “interviewees could recall at least one and sometimes two or more plans, which were postponed, not fully implemented, rather adopted as window dressing, used to improve morale rather than to improve women’s careers” (Timmers, Willemsen, & Tijdens, 2010, p. 733). Buskens and Webb (2009) argue that for real change to take place, “women have to be the agents of their development and empowerment” (p. 207).

2.4.4. Individualism-Collectivism (IND)

In South Africa, many of the black, female, and disabled staff are active in the transformation process, but not collectively. For example, they sit on selection committees, and “have direct experience of the institutional process and structures which sometimes undermine their efforts but they remain steadfast in their vision to make higher education a welcoming place for all” (Ismail, 2011, p. 13). The reference to making higher education a welcoming place for all highlights a collective inclination.

Academic freedom in South Africa generally refers to individual academic freedom rather than institutional academic freedom. Academic freedom can be defined as an individual’s scholarly freedom of inquiry, research and teaching (du Toit, 2000). In South Africa, much of the power to decide what to teach still flows from the collegial culture which results in “an implicit contract not to interfere with each other’s actual teaching” (du Toit, 2000, p. 120). This means that individual academics retain much of the freedom to determine what they teach in the courses to which they are assigned. Deem (1998) sets out the values of academics as “individual independence and autonomy underpinned by secure full-time employment, authority derived from academic standing, local control over all academic matters, high status for original research and widespread disdain for what are seen as the lesser tasks of administration and management” (p. 47).

Universities are facing pressure to raise standards despite reduced funding and increased student numbers. This situation places pressure on academics and restricts their academic freedom (Deem, 1998, Gumpert, 2000). Academics are struggling to retain their values and their conceptions of academic practice that were held before managerialism began to introduce new forms of governance and organisation (Henkel, 1997).

This discussion leads to the question (4), **how do culture**, and dimensions of culture affect change processes in the organisation? The organisational structure can reinforce certain elements of culture, and can contribute to the difficulty in bringing about change.

2.5. ORGANISATIONAL STRUCTURE

Organisations usually have a defined structure, which has evolved due to past events, and an emerging structure, which is constantly changing and emerging due to the response of individuals to change and local circumstances (Tsoukas & Chia, 2002). The formal or defined structure is usually presented in the form of a chart or organogram (Barney & Hesterly, 2006; Schermerhorn, 2001). An organogram shows how departments or units of an organisation are arranged, the various levels of management, who reports to whom, the formal communication channels and how the work is divided in an organisation (Barney & Hesterly, 2006; Schermerhorn, 2001).

Although there is no perfect organisational structure, traditional structures include Functional, Divisional, and Matrix structures (Drucker, 1983), while newer developments include Team, Organic, and Network structures (Schermerhorn, 2001). Hammond (2004) argued that the traditional organisational chart is not an adequate way of describing universities. Olsen (2005) agrees and refers to successful universities as “loosely coupled organized anarchies” (p. 28).

Universities have elements of both collegial structures with loose policies and loose control, and bureaucracies with tight policies and tight control but are increasingly moving towards corporate structures (Coaldrake & Stedman, 1999; Henkel, 1997). In the UK, universities are establishing strong

management at the senior levels, explicit and generalised rules and procedures and a proliferation of cross-institutional and non-disciplinary academic support units, e.g. teaching and learning. Many universities today can be described as relatively hierarchical at the higher levels with the hierarchical structure breaking down at staff and departmental levels to cater for ambiguities and uncertainty (Hammond, 2004; Henkel, 1997).

2.5.1. Professional Bureaucracies

Mintzberg (1979) referred to universities and similar organisations as “professional bureaucracies” (Figure 5) (Richards, 2010). Richards (2010) found that structural changes can be used to increase power and authority. The strategic apex in Figure 5 includes senior executives such as the vice-chancellor, deputy vice-chancellors, and the Registrar. The technostructure contains facility management services such as IT, and Libraries. Functions such as Marketing, Finance, Student Affairs, and Human Resources are support staff. The operating core contains the academics and their administrative staff.

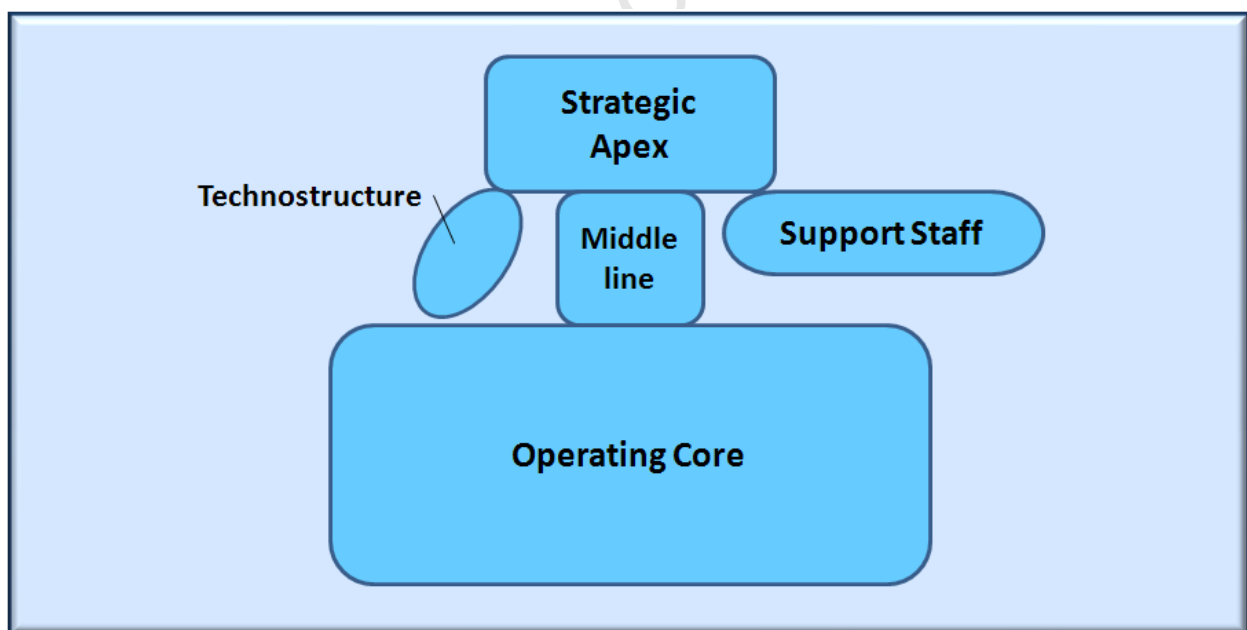


Figure 5: Mintzberg's "Professional Bureaucracy" (Richards, 2010).

Middle managers such as Heads of Departments (HoDs) form the middle line, and the operating core contains the academics and their administrative staff. Power is supposedly located within the operating core, i.e. the academics (Mintzberg, 1979). Deans of faculties are in the strategic apex and the middle line, and provide the link between the two levels of authority (Richards, 2010). Hospitals in the

UK are seen to be professional bureaucracies who are “heavily influenced by what happens in the middle of the organization, rather than at the top” (Currie & Procter, 2005, p. 1325).

Professional Bureaucracies tend to be run by professionals (academics in a University, doctors in a hospital), who have relative autonomy; while administrators tend to be viewed as semi-professionals with less influence, power and autonomy, and this weakens the potential for change (Begun, White, & Mosser, 2011). Change in a professional bureaucracy tends to be slow and requires changing the middle line and the operating core (Mintzberg, 1979).

There have been reports of change in the roles of both academics and administrators as a result of evolving roles of academic heads, the introduction of quality policies and assessments and development in teaching methods influenced by improvements in information technology (Coaldrake & Stedman, 1999; Hammond, 2004; Henkel, 1997). IT has created new structures in universities such as centres for educational technology, which develop and use educational technologies to support teaching and learning. Schofield (1996) comments that “One of the immediate challenges facing many developing country universities is to clarify the roles that administrative staff are expected to play, and the implications of this for management and decision making systems” (p. 9).

2.5.2. Roles and levels

Handy (1999) uses metaphors of tribes to describe university roles. Academics belong to the ‘person’ tribe, which puts the individual rather than the organisation first. The organisation is seen as a resource for individual talents (similar to a Doctor’s practice) and there is no real hierarchy. Individual professionals in a person tribe usually have tenure, which means management can apply few formal control measures. Management is thus generally seen as lower in status than professionals, and “for these reasons, the head of department or dean of faculty is usually a rotating job, often seen as a necessary chore rather than a mark of distinction” (Handy, 1999, p. 152).

Administrators belong to the 'role' tribe, which operates with a rigid command and control organisational structure. People occupy a box with a role, and the box continues even if no one is in it. Communication, systems, and procedures are all formalised. The role tribe find it hard to cope with change or exceptions. Members do not want too much independence or accountability for initiatives (Handy, 1999). Perhaps a solution for universities is not to expect the academics to become administrators, or to teach the administrators to understand the academics, but to design structures, which accommodate all tribes (Handy, 1999).

Universities are beginning to divide labour in innovative ways. "They are opting for more differentiated and performance-related contracts, research only contracts for 'star performers', teaching only contracts for those still on the edges of the profession (or those who do not publish) and fixed term contracts. Some contracts will incorporate freedom from or reduction of administrative loads" (Henkel, 1997, p. 138).

As the environment constantly changes, so the organisational structure should be open to change (Schermerhorn, 2001). In addition, new or evolving academic disciplines generate new demands for teaching and research resulting in the need to develop separate departments (Coaldrake & Stedman, 1999). In most universities, the purpose of restructuring is to ensure that units are academically strong (Henkel, 1997). Both Henkel (1997) and Hammond (2004) comment on the propensity of universities for restructuring, amalgamating and closing departments. They point out that this situation arises because some academic disciplines straddle more than one department and some disciplines are not represented. Higher education institutions are more and more rethinking their traditional roles and developing new organisational structures (Henkel, 1997; Moratis & van Baalen, 2002).

The number of levels in an organisation and the lack of clear reporting lines can create communication and efficiency issues (Drucker, 1983). This is discussed in a later section. Generally, Universities are moving to reduce the number of levels of decision making, flattening administrative structures, and devolving power to administrators and faculties (du Toit, 2000).

This section raises the question, **what are** the effects of *organisational structures* on change in an organisation? Any change in organisational structure can affect roles, power and control, and thus change business processes (Rosemann, De Bruin, & Power, 2006).

2.6. BUSINESS PROCESSES

A Business Process may be defined as a set of logically related activities, which cross-departmental boundaries to create something of value (usually a product or service) for a customer (Bider, 2009; Hammer & Champy, 1993). The customer may be the traditional external customer such as a student in the case of a university, or an internal customer (a colleague in another department) who requires a product or service.

Several business functions (such as Marketing, Sales, and Finance) are usually involved in a single business process (Benson & Standing, 2008; Harmon, 2007). An example of a business process in a university is student enrolment. Steps in the enrolment process such as application, acceptance, and payment involve several business functions (admission, faculty, finance). The customer does not care that different functions are involved, yet is impacted by mistakes and delays caused by poor coordination between business functions (Harmon, 2007).

Business Process Reengineering (BPR) combines and streamlines the steps to perform a task to eliminate repetitive and redundant work, to reduce waste, improve profitability, quality, and service (Hammer, 1990; Laudon & Laudon, 2009). BPR is a complex exercise, which many organisations have found difficult (Hammer, 2007); however, research has shown BPR to be an important issue (Luftman, Kempaiah, & Nash, 2006; Luftman & Ben-Zvi, 2010). A related field of study still in its infancy is Business Process Management (BPM). BPM is considered a more general approach to organisational change and improvement, and is based on a holistic continuous perspective (Hung, 2006; Lee & Dale, 1998; Rosemann, De Bruin, & Power, 2006) rather than a once off process such as BPR (Rosemann & de Bruin, 2005). BPM can be defined as the act “of supporting business processes using methods, techniques, and

software to design, enact, control, and analyse operational processes involving humans, organizations, applications, documents and other sources of information” (Van der Aalst, 2006, p. 1).

Universities have been looking for ways to improve business processes and in doing so reduce costs. Benson and Standing (2008) state that many universities have improved business processes such as student enrolment, and as a result have saved time, increased flexibility and reduced costs. Queues, paper forms, form checking and data capture have been eliminated or reduced, and costs saved by using IT (and IS) in universities (Benson & Standing, 2008).

Research conducted in South African organisations identified three dimensions of Business Process Management success. These were quality, efficiency, and agility (Thompson, Seymour, & O'Donovan, 2009). Quality is to do with the consistency of the process and the reduction of process errors (Rosemann & de Bruin, 2005). This consistency of process and reduction of errors results from the use of process controls and standards.

Efficiency referred to the reduction of throughput time, the automation of the process and reduction in costs. There is evidence that BPR has produced efficiency, better throughput times, ease of use and better functionality in higher education institutes (Abdous & He, 2008; Benson & Standing, 2008). Process agility referred to the speed at which the organisation could implement process changes (Thompson, Seymour, & O'Donovan, 2009).

Lee and Dale (1998) identified agility or organisational readiness as a major factor in the success or failure of BP improvement. Business agility was ranked 3rd in a Society for Information Management (SIM) survey (Luftman & Ben-Zvi, 2010). As the environment and organisation changes constantly, so the BPs need to be changed and improved (Hill, Cantara, Olding, Rosser, & Sinur, 2010). Achieving agility is the ultimate goal of BPM so organisations can proactively change and survive through continuous improvement (Hill, et al., 2008).

Abdolvand, Albadvi, and Ferdowsi (2008) identify five groups of factors that encourage and one that discourages agility or organisational readiness to introduce BPR. It is of note that the discussion above has already identified a number of the elements of these factors. The five factors that encourage agility or organisational readiness to introduce BPR are:

- Egalitarian leadership consisting of shared vision, open communication, confidence and trust in subordinates and constructive use of subordinates' ideas.
- Collaborative working environment consisting of friendly interactions, confidence and trust, teamwork performance, cooperative environment and recognition among employees.
- Top management commitment consisting of sufficient knowledge about BPR projects, realistic expectations of BPR results and frequent communication with BPR team and users.
- Change in management systems consisting of new reward system, performance measurement, employee empowerment and timely training and education.
- Use of information technology consisting of the role of IT, up-to-date communication technology and acceptance of IT (Abdolvand, Albadvi, & Ferdowsi, 2008).

The factor that discourages agility or organisational readiness to introduce BPR is:

- Resistance to change consisting of middle management fear of losing authority, employees fear of losing job, scepticism about project result and feeling uncomfortable with new working environment (Abdolvand, Albadvi, & Ferdowsi, 2008).

This leads to the 6th research, **How do *business processes*** influence change? Business processes are enabled by IT (Rosemann & de Bruin, 2005).

2.7. INFORMATION TECHNOLOGY (IT)

Massification and managerialism have led to an increased reliance on information technology (IT), and an increased need for university staff to learn and use IT for both teaching and administration (Brewer & Walker, 2010; Moratis & van Baalen, 2002; Ntshoe, Higgs, Higgs, & Wolhute, 2008). Until recently, the principal impact of IT in universities has been in administration and in libraries (Coaldrake & Stedman, 1999). However, IT is having a significant impact on higher education and its potential for innovation in teaching and learning has been enhanced by the growing power of networked computing and the convergence of information and communication technology (ICT) (Coaldrake & Stedman, 1999; Johnston, 2010). The acronyms IT and ICT are used interchangeably.

The advent of computer technology and the proliferation of its applications in education have resulted in changes to how students are taught, and how they learn. The current generation of students has “grown up with technology” and as such has an “information-age mindset” which believes that the computer is not a technology but an assumed part of life (Frاند, 2000; Howe & Strauss, 2007; Oblinger, 2003; Oblinger & Oblinger, 2005).

Many universities are actively looking at how they can use integrated IT at an institutional level to coordinate information processing within the university and to provide convenient and accessible links to students both for administration and for teaching (auf der Heyde, et al., 2007; Coaldrake & Stedman, 1999). “These changes require coordination, planning and resourcing at an institutional level, in an environment where technological change is rapid and demands for tailored applications are growing” (Coaldrake & Stedman, 1999, p. 7).

Organisations should have a clear IT plan that details how the infrastructure, applications, information, and projects are to be organised at various levels in the organisation (Eierman & Iversen, 2009). A wide range of IT applications and options are available, and management has to decide which one(s) best support the organisation at a point in time (Pearlson & Saunders, 2006). Information systems however, are not always implemented because of strategy, and information systems can create

new strategies. The developments in teaching technologies and the availability of integrated resource wide systems provide opportunities for universities to change (Aaron, Dicks, Ives, & Montgomery, 2004).

ICT applications which are not integrated can result in increased workloads due to duplication of effort, uncoordinated business processes, inconsistent data definitions, difficult interfaces, redundant and inconsistent information, errors when transferring information, increased costs, and slow response times (Sumner, 2005). Getting the information system element of an organisation's ICT to work in an integrated fashion is an extremely difficult and complex problem. Enterprise resource systems (ERPs) are a possible solution to the problem of integration (Laudon & Laudon, 2009). ERP systems are modular standardised application software suites, which come with built-in suggestions of business processes and data flows (Idorn, 2008). ERPs such as SAP and PeopleSoft aim to coordinate and integrate all the operations and all the information in all areas of an organisation rather than have several stand-alone programs (Hayes & Utecht, 2009; Monk & Wagner, 2009). Many universities have installed ERP systems (Hayes & Utecht, 2009).

Organisations can install a single ERP or adopt a best-of-breed approach, but the value derived from ERPs is the automation and integration of all business processes in real time (Turban, Leidner, McLean, & Wetherbe, 2008). Where organisations have installed multiple ERPs, costs have been higher than expected due to the different configurations and specialised support required, and inconsistencies in processes and data have retarded an organisations' ability to respond to change (Ganly, 2010).

Among the consequences of a good ICT strategy and its implementation are the integrity of the information from the system (Pearlson & Saunders, 2006) and the ability of a good system to stimulate innovation (Duchessi & Chengalur-Smith, 2008). However, the complexity of organisational change means that the consequences of change are difficult to anticipate (Berthon, Pitt, & Watson, 2008). Information systems fail for a number of reasons, including poor communication, the complexity of the system or its context, organisational problems, poor choice of technology, and poor leadership (Lorenzi

& Riley, 2003). There are numerous examples of problematic information systems in universities (Hayes & Utecht, 2009; Monk & Wagner, 2009).

This discussion leads to question seven; **how does** the organisation use **IT** to contribute to change? It is important to note that users (individuals) of IT seek satisfaction in terms of aspects such as reliability, speed, integrity, and automation of their work.

2.8. INDIVIDUALS

Individuals are the key factor in any change process, as change processes are initiated for individuals, by individuals, and usually impact individuals. Whatever changes happen in an organisation, are co-created by many individuals, and much of what individuals accomplish, they accomplish through communication or conversations (Stacey, 2001).

2.8.1. Conversations

Conversations can be face to face, via email or in meetings. Conversations even include what Lindkvist and Llewellyn (2003, p. 254) refer to as informal interactions “between individuals with whom one happens to work or whom one meets by chance in the back regions of the organization where hierarchy does not intervene.” Conversations in this context are more than simple telling-listening situations, they include interactive situations in which individuals pose open-ended questions without fear, where individuals are energised and inspired, where individuals listen attentively and learn from one another (Denning, 2010a).

Conversations can be open where anyone can participate equally and speak without fear (Habermas, 1984), or they can be closed where only certain individuals speak in order to communicate what they believe others need to know. Part of the openness of conversation is the ability to ask questions. “When we ask questions of others and invite them to search for answers with us, we are not just sharing information, we are sharing responsibility” (Marquardt, 2005, p. 28).

Asking questions in the sense of appreciative inquiry is a way to communicate about change. Appreciative enquiry values and honours organisational members in their process of search and discovery (Cooperrider & Sekerka, 2003). Questions enable people to discover and share the vision of the change and to realise the outcome (Cooperrider & Sekerka, 2003).

Stories are used to share visions and can serve many purposes; positive purposes such as providing staff with facts, controls, inspiration, and maintaining institutional memory (Denning, 2005), as well as for negative purposes such as domination and oppression (Stacey, 2001). Stories can be used to hide facts and to threaten or strengthen power relations (Stacey, 2001). Stories are fundamental to humans' search for meaning, and help stimulate people's responses (Denning, 2005; Mahadevan, 2009).

Narratives do not simply inform organisational member's values, practices, and traditions. "Rather, they help to *constitute* the organizational consciousness of social actors by articulating and embodying a particular reality, and subordinating or devaluing other modes of "organization rationality" [*emphases in the original*]" (Jansen, 2009a, p. 163). There is thus considerable scope for conversations in most organisations, not only to cope with changing conditions but also on a routine day-to-day basis (Lindkvist & Llewellyn, 2003) to convey and discuss decisions.

2.8.2. *Decision making*

Hammond (2004) describes how decisions on problems that confront universities are often made at the lower level. Heads of Department and Deans usually collect and collate information and report on these problems to senior administrators. Thus, what the senior administrators usually see is a condensed interpretation. Hammond (2004) argues that the way the university is structured, and who has authority in the respective departments and faculties can limit the inferences top-level administrators can draw from the condensed interpretations. One needs only to consider selection committees, performance appraisals, promotion recommendations, resolving conflicts or grievances, or recommendations on restructuring or closing departments, to see how poor structure can affect decisions in the university (Hammond, 2004).

It has been argued that it is not always cost effective to involve faculty staff in all decision making. Faculty staff are usually not and should not be involved in financial decisions such as budgetary planning, buildings, and facilities, salary levels and relative sizes of faculties. The reason for this is that faculty staff could value a different outcome, e.g. make decisions that support the faculty rather than the institute (Brown Jr, 2001). Bridgman (2007) supports the principle that lower levels should not be permitted to make decisions that would damage the institute. However, universities have been termed organisational anarchies, as they tend to have inconsistent and ill-defined decision preferences, unclear decision processes, and a variety of participants making the decisions (Cohen, March, & Olsen, 1972). “Deliberations over academic restructuring and resource reallocation seem endless - often bogged down by process without adequate attention to the substance and likely consequences of proposed changes” (Gumport, 2000, p. 68), and affect power structures.

2.8.3. Power

The trend towards managerialism results in some staff being able to capitalise on opportunities more successfully than others; resulting in uneven flows of rewards, status, resources, and power (Coaldrake & Stedman, 1999). The operating core (academics) usually has the power in a professional bureaucracy (Figure 5), however in South African universities, power is centralised in the Registrar (strategic apex) and other administrators (support staff) (du Toit, 2000; Habib, Morrow, & Bentley, 2008). Not only has there been a “shift of power from the faculty to central university administration” (Bentley, Habib, & Morrow, 2006, p. 20), but administrators and workers on university campuses have also gained influence (Ramphela, 2008).

One perspective on how people act to entrench their power is described by Bourgeois and Nize (1993), who present two modes of influence: pressure and legitimation. Pressure influence results from the ability to control resources. The power of administrators (support staff) in a professional bureaucracy arises from the pressure mode of influence. This power is not a direct power over academics and arises, instead, from the ability to influence policies and control infrastructure (Henkel,

1997). In the legitimization mode, power arises from the ability to persuade or influence others to regard their power as legitimate. Legitimation can arise from factors such as expertise, information, or coalitions (Bourgeois & Nize, 1993). Coalitions are where relationships or alliances are established to gain power, especially in committees (Bourgeois & Nize, 1993). Hammond (2004) supports this view and suggests that senior academics gain power through selection committees, recommendations on promotions, influence on curricula and the ability to gain funding.

Michel's iron law of oligarchy states that an elite minority will always emerge in all large organisations, and that this minority will always be committed to retaining their power and status (Michels, 2001; Noguchi & Edwards, 2008). The commitment of the elite to maintain power and control causes them to follow policies that are in their interests rather than those in the interests of the majority. This can result in a becalming (loss of energy and commitment) of the majority (Noguchi & Edwards, 2008). Money and budgets are inextricably linked to power.

2.8.4. Budgets

Universities face budget constraints and pressures to be more efficient due to a range of factors (Rinne, 2009). Traditional levels of funding have changed, revenue has had to be generated from new sources, new markets established, while ensuring compliance with outside demands for standards to remain, and productivity to increase (Gumport, 2000). University budgets can be managed centrally or decentralised and devolved to faculties (du Toit, 2000). There is a trend to not imposing centralised budgets and to devolving them to departments (Henkel, 1997).

2.8.5. Accountability

Universities are increasingly improving their efficiency by introducing greater accountability including performance indicators, teaching assessments, and academic audits (Dill, 1999; Gumport, 2000). "Most universities are increasing the level of organisational and management devolution to faculties and schools. This devolution, while increasing intermediate management authority, also requires increased accountability" (Coaldrake & Stedman, 1999, p. 11).

Generally, management practices dictate that each individual in an organisation should be held accountable for the quality of his or her performance (Gunn, 1995), while senior management should be held accountable for expenditure, standards, innovation, staff development and results (Stacey, 2009). Accountability has been attacked as managerialism, and opposed on the grounds that it is an attempt to control academics and remove their academic freedom (Coaldrake & Stedman, 1999).

2.8.6. Performance appraisals

Assessment of both academic and administrative staff has become almost obligatory in the face of demands from government, funders, and students (Gumport, 2000). Managerialism has increased the measurement of results using approaches such as management by objectives and balanced scorecards (du Toit, 2000). Performance appraisals have become common practice for all personnel at universities (Rinne, 2009). Deem (1998) reported increasing tensions between managers and staff as managerialism places pressure on individuals in terms of controls especially at the levels where staff members are exhorted to achieve more with less resources. Whilst universities are “borrowing imperatives from corporate settings” (Gumport, 2000, p. 70), little attention has been paid in the literature to developing the skills of managers in universities to cope with these imperatives (Schermerhorn, 2001). Talent management (retaining, developing, and motivating staff) should be a strategic priority in today’s organisations (De Kluyver & Pearce II, 2006; Guthridge, Komm, & Lawson, 2008).

Academics generally accept the necessities of massification and of accountability but not the consequences of these necessities and resist any changes which change the “values and modes of working that belonged to an elite system” (Henkel, 1997, p. 142).

Universities face the daunting task of improving access, enhancing quality of teaching and administration, and cutting costs, whilst having to adopt new ICTs that are in themselves costly and unproven (Gumport, 2000). University managers are now faced with the need to consider aspects such as costs and benefits, efficiency and effectiveness, and reengineering business processes (Benson & Standing, 2008; de Jager & Gbadamosi, 2010; du Toit, 2000). The eighth question is **how do individual**

staff influence, shape, and respond to planned change in an organisation? What contribution does each individual make to the process, and what is the additive effect of all the changes?

2.9. ADDITIVE EFFECTS

Streeck and Thelen (2005) stress that change is “incremental and transformative” (p. 2) and portray it as a “dynamic political process” (p. 8). Streeck and Thelen (2005) suggest that incremental processes of change can add up to major discontinuities, and that the accumulation of small changes can produce significant organisational change. Incremental change can and does take place in an iterative manner even during a managed change process. Incremental change in the context of a change project is suggested by Hempel and Martinsons’ (2009) feedback loops (Figure 4) and Fernandez and Rainey’s (2006) additive effects. Some of the gradual effects that could take place during the implementation process are suggested by an adaptation of Streeck and Thelen’s (2005) five types of gradual change as listed in Table 2.

Displacement	Slowly increasing activation and assimilation of subordinate, latent or deviant practices, behaviours or institutions
Layering	Attachment of new elements to existing practices, behaviours or institutions to the extent that old ones are modified, destabilised or compromised
Drift	Entrenchment of existing practices, behaviours or institutions despite changing circumstances either through neglect or lack of ‘maintenance’
Conversion	Redeployment of old practices, behaviours or institutions to new purposes through unintended consequences, ambiguity or compromises, reinterpretation or changing conditions
Exhaustion	The breakdown of practices, behaviours or institutions over time

Table 2: Gradual effects that can take place during an implementation process (Streeck & Thelen, 2005, p. 30)

In organisations, even things people consider stable such as routines are in fact constantly changing, constantly emerging, “change is all there is” (Lundin & Steinhórsson, 2003; Tsoukas & Chia, 2002, p. 576). Organisational members often implement indirect strategy and experiment with elements such as their job descriptions and business processes even in the process of a directed change (Weick, 2000).

That a managed change contains gradual change effects is reflected in the way organisational members attempt to make sense of the post change organisation and their role in it. The members sense a lack of stable and dependable standards, benchmarks, and principles so they make up their own

based on “criteria such as personal past experience, immediate payoff, expediency, or personal reward” (Marks, 2007, p. 734).

The problem with models such as the garbage can model is that although they describe the overall process, they do little to help the change manager discover and manage the independent streams. The view I have taken is that a fluid situation can develop during a change project due to the feedback loops, additive effects, and gradual change effects. However, there is a need to provide some theoretical support for understanding and managing change projects especially IS projects. This leads to questions such as **how do small *incremental changes* affect a managed change project.**

2.10. OUTCOMES

The success of any change initiative or process depends on the outcome. Of particular interest to IS are the concepts of usefulness (improved performance) and ease of use (reduced effort). These concepts are drawn from the Technology Acceptance Model (TAM) and the Unified Theory of Acceptance and Use of Technology (UTAUT) (Davis, 1989; Venkatesh, Morris, Davis, & Davis, 2003; Venkatesh & Davis, 2000). The users’ expectations of usefulness and ease of use are considered to influence adoption behaviour and ultimate acceptance, and are considered to be moderated by gender, age, and experience.

Research has been undertaken to investigate the impact of customer satisfaction on an individual’s intention to repurchase. This repurchase behaviour is referred to as expectation disconfirmation. Expectation disconfirmation is based on an assessment of the degree of non-achievement of pre-purchase expectations against post-purchase performance of a product or service (Bhattacharjee, 2001; Liao, Chen, & Yen, 2009). In the context of organisational change, expectation disconfirmation can be treated as a measure of lack of success of the change initiative. The expectations of the organisational members may not have been met despite the change having been completed. Any expectation disconfirmation in a change initiative can create a distrust of, and resistance to any future change initiative. It can also lead to reduced performance from organisational members (Liao, Chen, &

Yen, 2009). It is interesting to note the similarity of expectation disconfirmation to becalming (Section 2.8.3).

Often the outcome of an organisational change “has both positive and negative implications for the same person; however, individuals tend to “see the glass half empty” and fixate on the real or perceived negative aspects of a transition” (Marks, 2007, p. 722). Organisations should ask **what are** the effects of the **outcomes** of a planned change (Question 10).

2.11. QUESTIONS

This review has discussed the forces, strategies, and processes for planned rather than incremental change. Because of external forces and influences, internal strategies are drawn up and change processes put into place. These change processes interact with the internal forces of culture, organisational structure, business processes, information technology, and individuals. Individuals work in an environment defined by these interactions and their attitudes and reactions add important effects to the change process. This interaction and individual attitudes and reactions can affect the outcome and result in the acceptance, modification, or rejection of the change. The IS specialist thus needs to take into account a complex, iterative landscape of external and internal factors in order to understand and manage organisational change.

To this end, the following questions, already mentioned in Chapter 1, were generated from the literature, to be asked of UCT:

1. **What are** the **change influences** which contribute positively or negatively to the implementation of change?
2. **How does the** organisation generate, communicate, and implement change **strategies**?
3. **How does** the organisation conduct and institutionalise the **change process**?
4. **How do culture** and dimensions of culture affect change processes in the organisation?
5. **What are** the effects of **organisational structures** on change?
6. **How do business processes** influence change?

7. **How does** the organisation use **IT** to contribute to change?
8. **How do individual** staff influence, shape, and respond to planned change?
9. **How do** small **incremental changes** affect a managed change project?
10. **What are** the effects of the **outcomes** of a planned change?

The questions aim to analyse an organisation from an IS or a work systems perspective, as they are looking at how the people, technology, processes and information in an organisation “change and evolve over time” (Alter, 2008, p. 72).

Whilst the literature review has identified external and internal forces for change and some of the interactions of the internal forces with the change process, these forces and interactions need validation. It is possible that identified forces and interactions may not be the same as those prevailing in the case study university. It is further possible that new forces and interactions may be identified. The literature review has pointed to some of the possible evaluations and reactions of organisational members such as expectation disconfirmation but more need to be identified. Finally, the literature review has said little of any special circumstances applying to IS projects and it may well be that these projects do not conform to what has been essentially a generic discussion of organisational change.

Chapter 3 : Research Design and Method

This chapter discusses the philosophical assumptions underlying this research and outlines the methodology that flowed from those assumptions. The first two sections justify the ontological and epistemological choices made to achieve the aim of the research. The following section describes the selection of a qualitative research approach. The research methods are then discussed and justified, followed by the research process. The chapter ends with a discussion of quality, ethics, and limitations and risks.

3.1. ONTOLOGY

I hold an interpretivist view of reality, as I believe that the social world is produced and reproduced by the actions and interactions of human actors (Orlikowski & Baroudi, 1991), and “that multiple realities exist as subjective constructions of the mind” (Fitzgerald & Howcroft, 1998, p. 160). Interpretivists believe that organisational structures are created and named by individuals and are continually changing (Burrell & Morgan, 1979), and structures and social relations cannot be objectively known or measured (Orlikowski & Baroudi, 1991).

Because of the nature of universities as “organized anarchies” (Hammond, 2004; Olsen, 2005), this research takes the view that universities do not have tangible measurable, objective characteristics, which exist independently of human thought and action. Universities are complex organisations with a constant flow of loosely linked streams of interactions between executives, academics, and administrative staff.

As I was attempting to explore how people in an organisation manage change processes using information and technology, I interviewed and observed people at all levels in the university in an attempt to construct a landscape of reality as seen through their eyes (Burrell & Morgan, 1979; Fitzgerald & Howcroft, 1998; Walsham, 2006).

3.2. EPISTEMOLOGY

I adopted an interpretive epistemology (with a critical focus) to acquire and construct a landscape of reality at the University of Cape Town. How knowledge is constructed or acquired, and how one reaches truth (evaluates knowledge) are concerns of epistemology (Becker & Niehaves, 2007; Burrell & Morgan, 1979; Hirschheim, 1985; Monod & Boland, 2007; Orlikowski & Baroudi, 1991). The three predominant epistemologies used in Organisational and Information Systems research are positivist, interpretive and critical (Myers, 1997).

I assume that people socially construct their subjective reality through their interactions with those around them (Orlikowski & Baroudi, 1991), that people's views of reality are the ways in which they make sense of their world (Walsham, 2006), and that all views should be subjected to social critique (Myers, 1997). The underlying assumption I have about how knowledge can be obtained is thus Interpretivism, which has the aim of understanding reality through people and accessing their shared meanings (Orlikowski & Baroudi, 1991). To understand people in organisations knowledge of reality, I used social constructions such as language (Myers, 1997). "Socially transmitted terms direct how reality is perceived and this will vary across different languages and cultures" (Fitzgerald & Howcroft, 1998, p. 160).

The interpretive approach is characterised by a need to understand a situation as it is, to understand the basic nature of the social world at the level of subjective (or individual) experience (Burrell & Morgan, 1979). This approach seeks to gain an understanding of shared phenomena (Orlikowski & Baroudi, 1991). The outcome of this approach is that there will be different views on any issue, and that indifferent impartiality is impossible (Fitzgerald & Howcroft, 1998). Thus, "theories concerning reality are ways of making sense of the world, and shared meanings are a form of intersubjectivity rather than objectivity" (Walsham, 2006, p. 320).

I believe that IS research (and IS practice) should take cognisance of people's views, as well as human and social issues such as power relations, authority, control, culture, and that all views and

issues should be subjected to social critique and questioning. This is a critical realist belief, which assumes social reality is made up from issues from the past, and that social reality is created and reproduced by people; its main task is social critique (Myers, 1997). Howcroft and Trauth (2004) identified five key epistemological themes of critical research for IS research as emancipation, critique of tradition, non-performative intent, critique of technological determinism, and reflexivity. Emancipation is a commitment to free people from “power relations” which socially exclude them in societies and organisations (Howcroft & Trauth, 2004, p. 197). Critique of tradition encourages dissent and aims to disrupt current power and authority. Non-performative intent concerns “the rejection of the provision of tools to support and assist managerial efficiency through reengineering minimum inputs for maximum outputs” (Howcroft & Trauth, 2004, p. 197). Critique of technological determinism challenges the notion that technology is necessarily an effective mechanism for change (societal or organisational). The fifth theme reflexivity, questions the legitimacy of available information as interests and power often shape it (Howcroft & Trauth, 2004). I agree with the five themes of critical research for IS research as described by Howcroft and Trauth (2004), and attempt to follow them in this research.

A key element of change in South African universities is redressing racial and gender inequalities in both staff and the student bodies. Issues such as how organisations function and how people are affected by power, control and social inclusion or exclusion are concerns of critical IS research (Cecez-Kecmanovic, Klein, & Brooke, 2008; Stahl, 2008). Therefore, there is a clear critical realism perspective in this research particularly as critical realism looks to create visible and material change (Kaboub, 2008). Whilst the main perspective in this study is interpretivism, part of the objective of this research is to provide alternatives which will rely, to some extent on critical research. It is hoped that an indirect impact of this research will be ‘Emancipation’, ‘Critique of Tradition’, ‘Critique of Technological Determinism’ and ‘Reflexivity’ within the context of the university under study.

Van Maanen, Sørensen and Mitchell (2007, p. 1145) adopt the view that the aim of organisational and management research is to “speculate, discover, and document, as well as to provisionally order,

explain, and predict, (presumably) observable social processes and structures that characterize behaviour in and of organizations". However, whilst this research adopts the view that the social processes and structures are not directly observable there is an attempt to provisionally order and explain the social interactions and processes taking place in the university under study. This research strives to use context and meaning as key anchors whilst seeking an IS perspective on the change processes.

3.3. RESEARCH APPROACH

A qualitative approach was selected for this research, as this research takes the view that the "social phenomena in the research site are more particular and ambiguous than replicable and clearly defined" (Van Maanen, 1979, p. 520). This research is attempting to explore individual experiences and views in a specific organisation, and map how the individuals' experiences and views are influenced by the organisation, and how the organisation gives meaning to their views and experiences. Quantitative methods would not capture these aspects as quantitative methods assume tangible, measurable phenomena (Blumberg, Cooper, & Schindler, 2005). Organisational and IS research is increasingly using qualitative approaches (Bryant, 2002).

Interpretivists and critical IS researchers generally favour a qualitative approach, although some authors do not preclude an aspect of counting and classifying qualitative data and examining quantitative data for its qualitative potential (van Maanen, Sørensen, & Mitchell, 2007). The value of the qualitative data lies in its richness, quality, and context (Anfara, Brown, & Mangione, 2002).

Research methods influenced by a qualitative approach include case study research, action research, ethnography and grounded theory research (Myers, 1997).

3.4. RESEARCH METHOD

The main purpose of this research is to explore how a University (UCT) manages change. In so doing, the research investigated and explained how executives, academics, and administrators at the university make sense of their world, and what common or shared meanings exist.

3.4.1. Case Study

The most frequently used qualitative method in IS research is the case study (Myers, 1997), which was used to explore change management in detail within a real-life environment (UCT) as recommended by Yin (2009). Yin (2009) defined a case study in two parts. Part one defined the scope, “A case study is an empirical inquiry that investigates a contemporary phenomenon in depth and within its real-life context, especially when the boundaries between phenomenon and context are not clearly evident” (Yin, 2009, p. 18). The scope of this research falls within this definition as it is investigating the phenomenon of change within a university. Part two defines the technical characteristics as “the case study inquiry copes with the technically distinctive situation in which there will be many more variables of interest than data points, and as one result relies on multiple sources of evidence, with data needing to converge in a triangulating fashion, and as another result benefits from the prior development of theoretical propositions to guide data collection and benefits” (Yin, 2009, p. 18). This research has more variables than data points, relies on multiple sources of evidence, and benefits from existing theories.

Case study research aims to examine the “uniqueness and the idiosyncrasy of a particular case in all its complexity” (Welman & Kruger, 2002, p. 183), which ties in with the aim of this research. Case studies scrutinize a current issue within its real-life context using many sources of data including interviews, archives, documents, and observations (Blumberg, Cooper, & Schindler, 2005; Eisenhardt, 1989; Yin, 2009), and no hypotheses are formulated (Mouton, 2001). Collecting data from multiple sources is part of triangulation and provides access to a wide array of issues (Kohlbacher, 2006), prevents over dependence on one source and helps neutralise bias (Anfara, Brown, & Mangione, 2002).

The case study in this research thus became a focus of the research and the research method (Bowen, 2005).

Many misunderstandings exist about case study research, these include the misunderstanding that “general, theoretical (context-independent) knowledge is more valuable than concrete, practical (context-dependent) knowledge” and that “one cannot generalize on the basis of an individual case; therefore, the case study cannot contribute to scientific development” (Flyvbjerg, 2006, p. 221). Walsham’s views are that context-dependant knowledge is important and useful for practical intervention (Walsham, 1995), and the validity of any generalisation from a single case study lies in the “plausibility and cogency of the logical reasoning used in describing the results from the cases, and in drawing conclusions from them” (Walsham, 1993, p. 15).

3.4.1.1. Reasons to Conduct a Case Study

This research asks “how” and “what” questions. I had almost no control over events, and the research focused on managing change in a real-life context, and so fits all three of Yin’s reasons to conduct a case study. “Case studies are the preferred method when (a) “how” or “why” questions are being posed, (b) the investigator has little control over events, and (c) the focus is on a contemporary phenomenon within a real-life context” (Yin, 2009, p. 2). Yin (2009) says “what” questions which are exploratory such as “what are the effects of...” are forms of research questions in a case study, whereas “what” questions which are quantitative such as “what have been the ways in which...” are less likely to be used in a case study. The research attempts to explore the dynamics of a particular organisational issue, which fits the description of a case study (Eisenhardt, 1989; Sekaran, 2003). The research is not simply descriptive, but aims to highlight patterns (Welman & Kruger, 2002).

3.4.1.2. Reasons for selecting a single Case

This research aims to explore change management and how it affects those involved in a successful South African university (UCT). The site was selected for several reasons. The first reason was that as a single case it offered an opportunity to explore the issue of managing change in the highest ranked

university in Africa (Times University Rankings, 2010), secondly was that I had access to UCTs people and documents. Yin (2009) states that the most important criteria for selecting a case is firstly the ability of the case to clarify the research questions, and secondly access to interview people, review documents and make observations in the field. UCT satisfied these criteria.

In summary, a case study was selected as the research method for the following reasons:

- a) The research questions posed focus on “how” and exploratory “what” type questions, which fits case study research (Kohlbacher, 2006; Yin, 2009).
- b) I had almost no control over behavioural events, and had no power to manipulate events or behaviour (Yin, 2009).
- c) I had access to individuals and documents in the organisation, and was able to observe participants and events, making a case study an ideal method (Yin, 2009).
- d) The research aimed to explore complex social phenomena in an organisation within its real-life environmental situation. Universities such as UCT consist of a numerous and diverse set of people who have a wide range of backgrounds, ideas, and hopes. Thus, a research method that would unravel the complexities and make sense of the apparent chaos was required (Kohlbacher, 2006; Yin, 2009).
- e) The research used a case study as the research method, and grounded theory method to analyse the qualitative data as argued for by Kohlbacher(2006) and Mouton (2001). Locke (2001, p. 95) supports the choice of grounded theory method when she describes grounded theory as a method that “adapts well to capturing complexities of the context in which actions unfold enabling the researcher to explore all that may be involved in a particular substantive issue.”
- f) Rather than measuring data, a case study provides a way to give meaning to data in its natural context (Yin, 2009).
- g) Case studies allow a wide variety of data collection methods such as interviews, observations, documents, to be used (Yin, 2009).

- h) The researcher's experience, research, and reading are valued in case study research. The researcher should be a good listener, be adaptive and flexible, have a good grasp of the issues, and be unbiased (Yin, 2009). I believe I have these skills, and I am mindful of my biases.
- i) "Case study data collection does not follow a formal protocol" ... "as you collect case study evidence, you must quickly review the evidence and continually ask yourself why events or facts appear as they do" (Yin, 2009, p. 69).
- j) The research aimed to focus mainly on contemporary events as such a case study was appropriate (Yin, 2009).

3.4.1.3. Types of Case Studies

The aim of this research is to explore and explain a phenomenon (change management) in a single site (UCT). The three main types of case studies used for research purposes are (a) exploratory, (b) explanatory, and (c) descriptive, and each of these may be single or multiple case studies (Yin, 2009). This research is an exploratory single case study as it focuses on causal factors and pattern matching, and serves to make the unfamiliar familiar.

Yin (2009, p.27) identified five components of research design that are important for the case study as considered in this research. They are:

1. a study's research questions (Section 1.1)
2. its propositions, if any (Not applicable for this single case)
3. its unit(s) of analysis (Chapters 1 and 4)
4. the logic linking the data to the propositions or research questions; and (Section 3.5)
5. the criteria for interpreting the findings (Chapter 6).

Section 1.1 lists the "how" and "what" questions of the research study. This single case does not have propositions, as it is exploratory in nature, its purpose is to explore and explain the phenomenon of change management in UCT. The main unit of analysis is the UCT organisation as detailed in Chapter 4, embedded units of analysis within UCT are people, technology, processes, and information as

described in Chapter 1. The unit of analysis may be individuals, groups, organisations, projects, decisions etc. (Benbasat, Goldstein, & Mead, 1987; Yin, 2009). The grounded theory method is the analytic technique used to link data to the research questions and this is described in section 3.5. Chapter 6 details the criteria for interpreting the findings of the study.

Figure 6 is a diagrammatic representation of the research ontology, epistemology, approach, and method. Figure 6 may be somewhat misleading as it implies the concepts or assumptions are separate and complete. They are not as there are areas of ambiguity and overlap between the concepts and assumptions (Stahl, 2008).

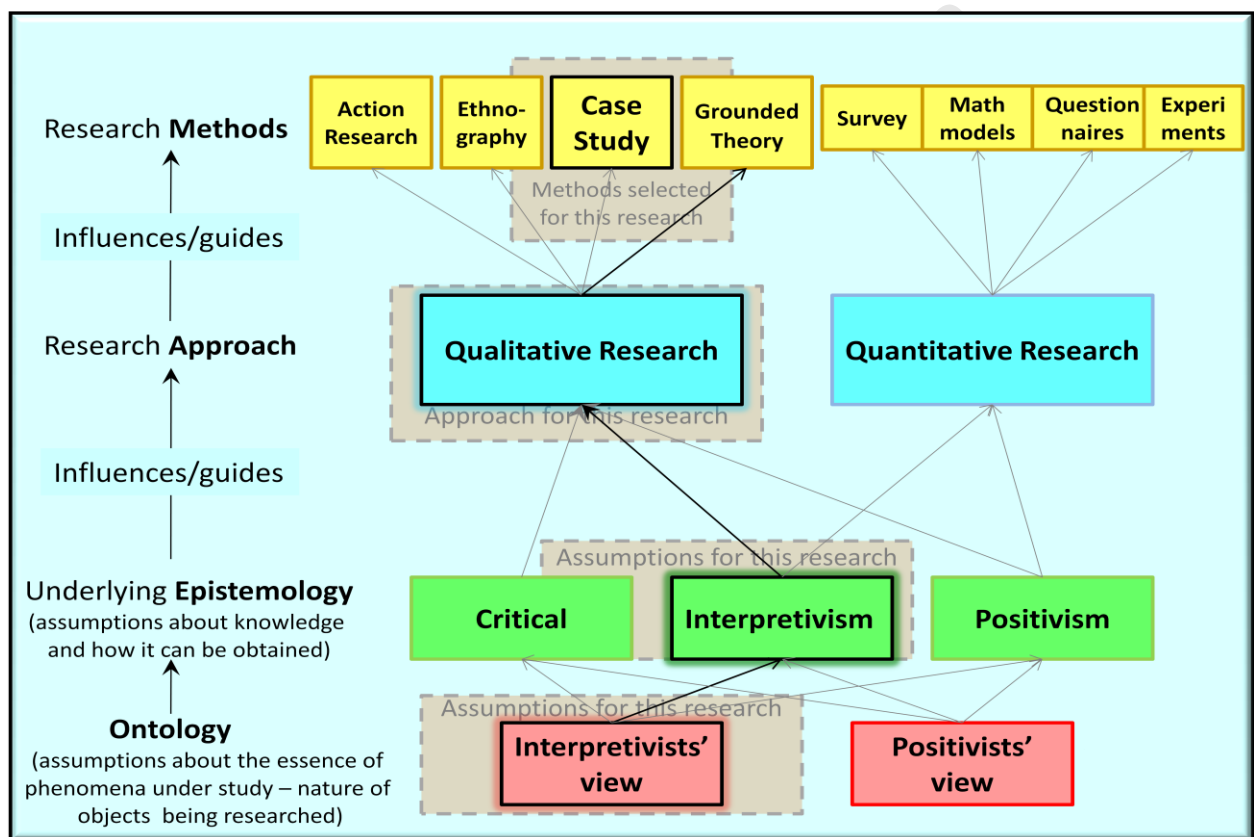


Figure 6: Diagram of Research Ontology, Epistemology, Approach, and Method.

3.5. RESEARCH PROCESS

Figure 7 is a graphic representation of the research process followed. I entered the substantive area and began data collection by using purposeful sampling and selecting two individuals to interview. The interviews were recorded, and coded. Theoretical sampling was then used to select additional individuals to interview. Data was collected, compared, and coded while memos were written. The cycle

of theoretical sampling, data collection, coding, comparing, and memo writing continued until theoretical saturation was deemed to have been reached when interviews no longer revealed new information and “when marginal improvement becomes small” (Eisenhardt, 1989, p. 533). Axial and Selective coding then commenced, and a new cycle of theoretical sampling, data collection, coding, comparing, and memo writing continued until the categories were finalised. Literature viewed through the lens of the developing landscape and the evolving research questions continually informed and guided both cycles. The landscape was then generated using selective coding, memos and relevant literature. The research process was almost chaotic, iterative and seemingly random. The thesis was then structured and written around the ten core categories.

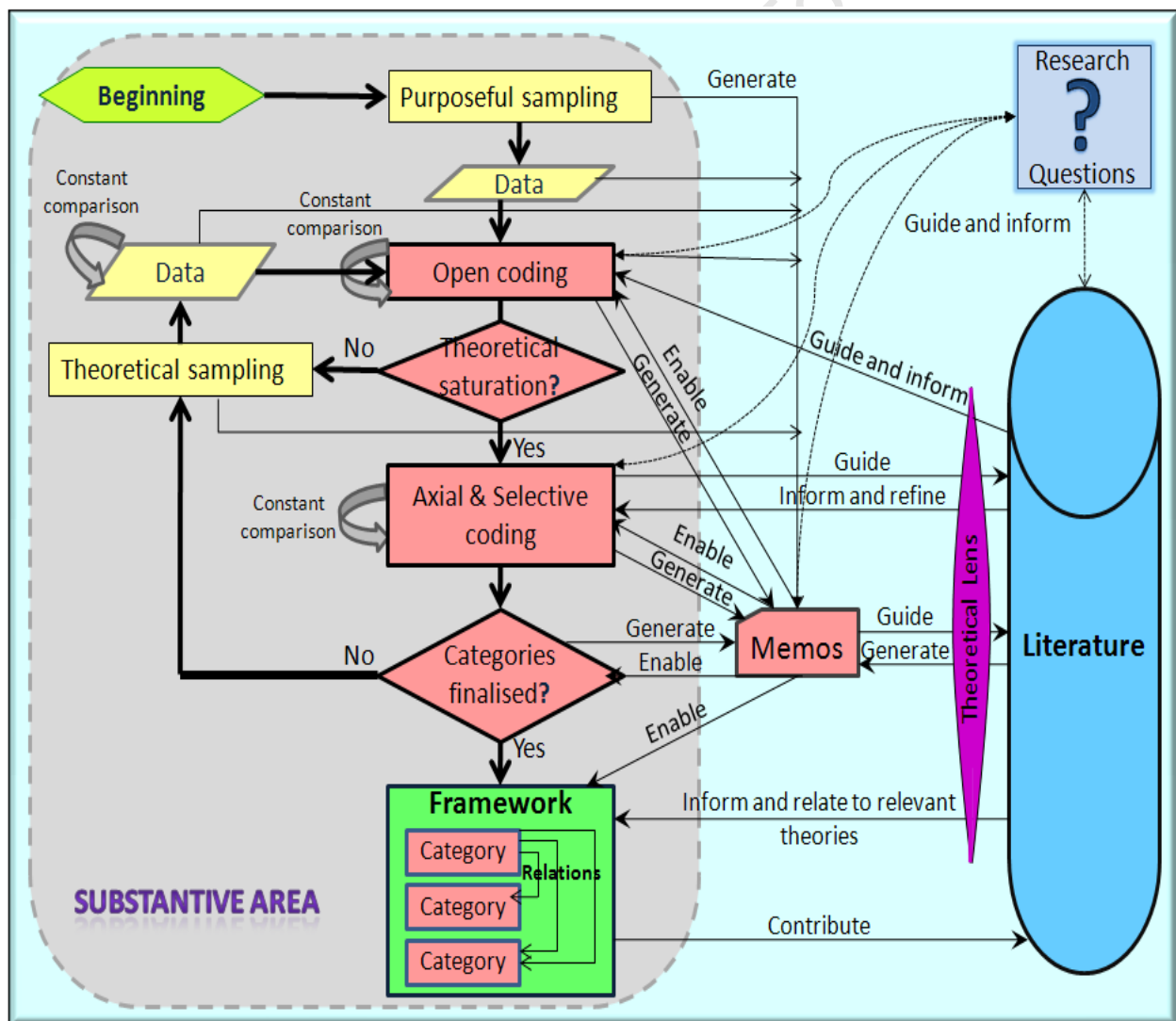


Figure 7: Model of the Research Process of this study

3.5.1. Analysing the evidence

Data collection and data analysis were done simultaneously in this research as suggested by Eisenhardt, when she said that a striking feature of case study research is “the frequent overlap of data analysis with data collection” (Eisenhardt, 1989, p. 538). The variables for the case study were not predetermined, this is in line with statements such as “the case study researcher may have less a priori knowledge of what the variables of interest will be and how they will be measured” (Benbasat, Goldstein, & Mead, 1987, p. 370).

As variables were unknown, grounded theory method was used to examine and analyse the data for the case study research as argued for by Kohlbacher (2006). The term ‘Grounded theory’ is used in literature to define both grounded theory (a product of inquiry) and grounded theory method (a method of analysis used in this research); grounded theory method can be used without necessarily creating a grounded theory (Bryant, 2002; Charmaz, 2005).

The principles of emergence, constant comparative analysis, and theoretical sampling are key principles of grounded theory methods (Matavire & Brown, 2008). These principles give rise to four analysis techniques which are open coding, constant comparison, memoing, and selective coding, each of which is a separate analytical method (Allan, 2007).

3.5.2. Sampling

Two sampling approaches were used in this research, purposeful and theoretical. Interviewing began in December 2008, when purposeful sampling was used to select an initial sample of two bold, outspoken senior people who held firm yet opposing views on the University. These people were deemed to have a broad knowledge of the subject area and the university. They also served to test the interview approach as their interviews were treated as pilot interviews as well as being part of the overall sample.

Theoretical sampling was used to choose respondents for the remainder of the data collection, in harmony with interpretivist research (Hughes & Jones, 2003). The remaining interviewees were thus

selected based on the data collected. Decisions such as who, where and when to sample were not pre-determined, but rather based on coding and analysis of current data (Glaser & Strauss, 1967; Kelly, 2008; Matavire & Brown, 2008; Sheridan & Storch, 2009; Urquhart, Lehmann, & Myers, 2009).

Participants, who could answer questions which had arisen, strengthen links between categories, confirm relationships that had emerged, or provide contradictory elements to the emergent assumptions were selected (Boeije, 2002; Pandit, 1996; Sarker, Lau, & Sahay, 2001). Who should be interviewed was determined by the gaps identified (Glaser & Holton, 2004). Interviewing people with diverse perspectives is important, as diverse participants lead to diversity of data (Boeije, 2002; Glaser & Strauss, 1967). Twenty-one interviews were conducted between December 2008 and December 2010. It was noticeable that most of the interviewees with power, status, and influence were white males as is common in South Africa (Jansen, 2009b). This is an indication of how difficult social change is at the university.

In order to maintain anonymity three categories of respondents were created, executives, academics, and administrators. The six executive participants were drawn from the 22 executive positions at UCT which are the Vice-Chancellor, Executive Deans, Deputy Vice-Chancellors, Executive Directors, and the Registrar. The eight academics were drawn from lecturers, associate professors, professors, and heads of academic departments. Seven administrators were drawn from all staff categorised as PASS (Professional Administrative Support Staff) staff. When an individual had served in more than one of these areas, they were classified according to the highest position in which they had served. So if a respondent had been a lecturer, a faculty manager, and a dean, they would have been classified as an executive. All the faculties were represented.

To provide anonymity and to make the dissertation easier to read, all respondents were given pseudonyms. The six executives pseudonyms all started with the letter 'E' (Ean, Elsi, Ervin, Euan, Evan, and Eve), the eight academics started with 'A' (Abi, Aidan, Alec, Alice, Alistair, Amy, Andrew, Angus), and the seven PASS started with a 'P' (Pam, Pat, Paul, Peigi, Penny, Pippa, Prue). Table 3 summarises the

profiles of the interviewees in terms of position, gender, race, and years of service, showing that over 71% had been at UCT for a period of 10 years or more.

Position	Gender		Race		Race/Gender		Years of Service			
	Female	Male	Black	White	Black Male	Black Female	5-9	10-15	16-20	>20
Executive	2	4	4	2	2	2		3		3
Academic	3	5	4	4	1	3	2	2	2	2
PASS	4	3	2	5	1	1	4	2		1
Totals	9	12	10	11	4	6	6	7	2	6

Table 3: Summary of Profiles of Interviewees.

There are two active unions on the campus, the Academics Union (AU) and the Employees Union (EU) for administrative (PASS) staff. No interviewees were asked about their union affiliation, but three chose to disclose their affiliation.

The size and extent of the sampling should not be predetermined, rather sampling should continue until theoretical saturation has been reached (Glaser, 1992; Glaser & Strauss, 1967). Saturation is not to be confused with repetition and is reached when subsequent interviews fail to reveal any new insights, concepts, categories or relationships (Boeije, 2002; Charmaz, 2006; Sarker, Lau, & Sahay, 2001; Suddaby, 2006).

The next section details the sources of data and the process of collecting data including the interview procedure, the pilot study, and recording and validating the record of the interview.

3.5.3. Data Collection

I started collecting data in the form of literature, documents, and emails in early 2008. Once the research was formally approved by the various Ethics in Research committees in late November 2008, interviews were arranged. Data collection (in the form of interviews), note taking (during interviews), coding, and memoing should ideally occur simultaneously from the outset (Dick, 2005; Simmons & Gregory, 2004). A data collection matrix (Table 4) was produced as proposed by Anfara et al. (2002).

Whilst this research used records, documents, minutes, conversations, emails, literature and observations, the main source were qualitative, semi-structured interviews. Whenever possible or

necessary the data collected from various sources was assessed for quality and rigor by employing at least two strategies such as triangulation, purposive sampling, and peer examination (Anfara, Brown, & Mangione, 2002). In addition, multiple sources provide for conceptual stimulation, theoretical flexibility and saturation (Fernandez, 2003).

	Question	Interviews	Observations	Literature	Documents
1	What are the change influences which contribute positively or negatively to the implementation of change?	√	√	√	√
2	How does the organisation generate, communicate, and implement change strategies ?	√	√		√
3	How does the organisation conduct and institutionalise the change process ?	√	√		√
4	How do culture and dimensions of culture affect change processes in the organisation?	√	√	√	√
5	What are the effects of organisational structures on change?	√	√	√	
6	How do business processes influence change?	√	√	√	√
7	How does the organisation use IT to contribute to change?	√	√		√
8	How do individual staff influence, shape, and respond to planned change?	√	√		√
9	How do small incremental changes affect a managed change project?	√	√	√	
10	What are the effects of the outcomes of a planned change?	√	√		

Table 4: Data Collection Matrix

3.5.3.1. Conducting Interviews

The first two interviewees were purposively selected to commence the research as explained. The characteristics of the respondents are important as I needed people with personal experience, with good communication skills, who were open and not defensive, and who had an interest in participating (Kelly, 2008). Both initial interviewees commented that the list of questions was too detailed and said they preferred to speak generally about issues, and not follow a 'script'. The initial questions were then reduced and simplified; this second set of questions (available on request) was used more as a set of guidelines which provided for improvisation in all subsequent interviews.

Each interview commenced with an explanation of the purpose and topic of the research, and a little self-disclosure of my experiences to help make people feel more comfortable (Kelly, 2008). The letter of approval from the Ethics committee and the list of questions were placed on the table. All interviewees were assured that all data would be treated confidentially, and that they would have an opportunity to view and correct the record. All respondents were asked to provide brief background information on themselves and the various roles they had played in the University. The advice of Glaser and Holton (2004) to listen to interviewees 'venting issues' rather than try to get them to discuss issues or subjects was followed. It was sometimes difficult to get people to stop talking or slow down, there almost seemed to be a floodgate effect that people wanted to talk about change management issues. The result was that most respondents spoke at length with almost no interruptions, only occasionally glancing at the questions (Myers & Newman, 2007; Nandhakumar & Jones, 1997). No respondent followed the list of questions rigidly, and the suggestion that "the interviews will be guided conversations rather than structured queries" (Yin, 2009, p. 106) was followed. The interviews were essentially directed conversation with people who had relevant experiences and therefore facilitated deeper exploration of a topic (Charmaz, 2006; Legard, Keegan, & Ward, 2004). Rather than asking probing questions, I followed up on what said, and asked open-ended exploratory questions to clarify where needed (Charmaz, 2006). Silences were tolerated, as silence allows thoughtfulness (Kelly, 2008). The majority of the interviews were between 100 and 140 minutes.

Interviewing fits well with the interpretive approach as it is a more natural opportunity for intimacy, similar to conversations (Charmaz, 2006). The intention was to use an ethnographical approach to gather the data, by observing behaviour and reactions, interviewing, and analysing documents such as minutes, emails, literature, and by looking "beyond what people say to understand the shared system of meanings we call 'culture'" (Goulding, 2005, p. 298).

An artificial dramatic situation as described by Myers & Newman (2007) was created in an attempt to get interviewees to discuss issues in their own words. The Dramaturgical Model of Interviewing (DMI)

is based on the theory developed by Goffmann (1959). This model sees an interview as a dramatic performance with actors (entering and exiting), taking place on a stage with props (offices, chairs, desks, paper, etc) and using a script (structured or semi-structured questions) before an audience (those who contribute to the research) (Goffmann, 1959; Myers & Newman, 2007).

Interviewees were asked to select a venue where they would feel safe and could talk openly and honestly (Kelly, 2008). Interviewees usually chose their offices, although five chose my office, and five insisted on being interviewed in neutral venues far from the university. I ensured that there were no interruptions or disturbances during the interview (Kelly, 2008).

Impression management is very important, particularly first impressions (Myers & Newman, 2007), so I made every effort to dress, speak, and represent myself in a particular manner to put the interviewee at ease (Goffmann, 1959; Myers & Newman, 2007). The dynamics of power, race, ethnicity, gender, age, class and title, were observed and noted in all interviews (Charmaz, 2006). I followed Myers and Newman's (2007) guideline to use 'mirroring' by attempting to use the interviewee's language rather than imposing my own.

Interviews are essentially conversations or discourse between two people, and Habermas' discourse theory influenced how the interviews were conducted. Habermas' (1984) theory explains conditions that can lead to open communications. These conditions require full awareness of the other's perspectives and that there should be no domination by one party or one perspective in the conversation (Cavalier & Ess, 2006, p. 1). Certain means of speaking, accents, tone, education, use of words may result in the researcher giving more weight to certain people and disregarding or toning down the views of others (Habermas, 1984). People need to be open to what others say in conversations without judgement, as what others are saying could be right (Gimmler, 2006, p. 1).

I believe that being aware of Habermas' discourse theory, made for better interviews as I strove to adhere to the principles of the theory. All interviewees took part freely, no individual's views were

disregarded or diluted, and I made every effort to be impartial and non-judgemental. Further steps to ensure impartiality such as emailing records of the interviews to the interviewees are discussed in the next section which deals with the steps taken to record the interviews.

3.5.3.2. *Recording interviews*

All interviews were recorded using pen and paper; no recording devices were used as a personal preference (Yin, 2009). I preferred to listen closely to what was being said, and not to distract or intimidate the respondents in any way. Note-taking made the interview more intimate, and gave both parties a role during the interview, no recording also meant less ‘performing’ for the media (Dick, 2005; Glaser & Holton, 2004).

A modification of the page layout suggested by Dick (2005) for note-taking, coding and memoing, was used throughout the research. Figure 8 contains an example from an interview, with biographical information at the top, notes taking two-thirds of the page and written on the left hand side, codes on the remaining right hand side, and memos below the notes (Dick, 2005) as in Figure 8.

Biographical Information — Joined UCT in 2010 as [redacted] promoted in 2011 to [redacted]		Codes	Links
Notes Don't think there is any resistance to improving processes; people just not given the opportunity to do it. Generally because staff aren't sufficiently trained. All staff work like machines and don't think outside the box ever. It would never occur to most staff to go back and check that work has been done accurately. There is no motivation for them to take responsibility and accountability for functions. I have always felt that we expect a lot of our managers, and yet we give them no backing.		change staff dev. culture audit staff dev.	power question question
Memos Link between management, staff and training Managerialist, wanted objectives, measures, dates, etc			

Figure 8: Typical Page Layout for Note Taking, Coding, and Memoing.

Inflammatory and derogatory sentences in interviews were not captured, and each record was checked for contradictions. Interviews provided data for coding and analysis, material for memos, suggestions of who to interview next, pointers to documents and clues to literature for further investigation.

I was aware that interviewees can have multiple perspectives of events, and that they interpret data according to their own viewpoint, and often tell the interviewer how to view the data (Glaser, 2002; Charmaz, 2006). All respondents were emailed their interview records, and given the right to “change their mind at any time” (Legard, Keegan, & Ward, 2004, p. 147), and requested to confirm the accuracy of the record. Most of them responded saying that they were happy with the transcript, although one did request a sentence to be removed, and several added additional sentences.

The relationship between the researcher and the respondents can provide important relevant feedback and the closer the working relationship the higher the trust, respect and honesty of the feedback (Fereday & Muir-Cochrane, 2006). None of the respondents had a close working relationship or any other form of close relationship with me.

Whilst interviews were the main source of data, documents, electronic correspondence and impromptu meetings were also important sources.

3.5.3.3. Documents

Documents were collected from a variety of sources within the University as well as from external sources. Internal documents were obtained from Council, Senate, Vice-Chancellor’s Office, Registrar’s Office, Faculties, Departments, and Committees, and included minutes, Principles Circulars, plans, analyses and reports. The documents provided supplementary and background information to the research, as well as formal records of certain actions and outcomes against which respondents accounts could be checked and verified. Refer to the second part of the bibliography for a list of documents accessed.

3.5.3.4. Electronic Correspondence

I received several emails and SMSs which were relevant to the research, which were kept as records (memos) of discussions and points of view. Emails provided background and clarification as well as

adding personal voices to certain issues, and importantly provided a record of the time and sequence of responses regarding those issues.

3.5.3.5. Impromptu Meetings

Several of the interviewees subsequently met me informally in unscheduled brief meetings and made additional comments and statements. Most of the conversations were not noted, but several comments and suggestions were recorded as memos, while some statements were added to the respondents' records with their permission.

The collection of data from documents, electronic correspondence and impromptu meetings is an important part of data triangulation, which helped to reduce bias.

3.5.4. Data Analysis

There is no standard grounded theory data analysis process for coding data and different authors support different processes (Anfara, Brown, & Mangione, 2002). I followed the approach of first open coding, then axial coding and then selective (or theoretical) coding as suggested by Strauss and Corbin (1998), as it appeared simpler and better suited to this research. Although presented as sequential processes, the three stages were performed in an iterative fashion, with earlier stages frequently revisited and revised.

The first stage, open coding, breaks the data into manageable pieces, which are then coded by allocating a category to each piece of data. Properties and dimensions of each category are then identified. The second stage, axial coding, looks for meaning, insights, patterns, and relationships and may create new categories. The third stage uses the categories to generate a landscape, model or theory, which answers research questions (Urquhart, 2002). Other important analytical tools that support the three steps include memo-writing and constant comparison. The following discussion will first discuss memo-writing as this takes place through all three coding stages. Constant comparison,

together with the identification of core categories will be discussed at the end of the section on open coding although this process overlaps all three stages.

3.5.4.1. Memo-Writing

Immediately after each interview, a memo (an informal analytical note) was written about observations and thoughts about the respondent during the interview (Figure 8). I was aware of and recorded any relevant body language (arm and leg positions and movements, facial expressions such as sighs, laughs, smiles, silences, eye and head movements, etc.) in memos during the interview (Kelly, 2008; Legard, Keegan, & Ward, 2004). These often highlighted emphasis of a particular point.

Memos were written at all stages of the research process, and aimed to capture various aspects of the research (Charmaz, 2006; Dick, 2005; Yin, 2009). Yin (2009) says researchers should write narratives to assimilate evidence and hone in facts and answers to questions. Memos varied in content, length, and even heading, as some were not headed, while others were collected under a variety of headings such as 'research problem/question', 'issues to explore', 'literature to be found', 'codes and categories', 'practical issues' and 'theory'. Memos detailed how themes were developed, how sampling, peer examination, and triangulation were accomplished, in line with Anfara, Brown and Mangione's (2002) suggestions.

Memos were used to constantly compare data and categories, express opinions, record thoughts about developing ideas, explore new ideas, analyse gaps, develop and refine categories, and indulge in conjecture as recommended by Charmaz (2006). Memoing encouraged reflection and the development of logical rather than speculative conclusions (Glaser & Strauss, 1967, p. 107).

3.5.4.2. Open Coding

I manually coded every sentence of every record and looked for processes, actions, assumptions, consequences, metaphors, key words, etc. No specialist software was used to analyse the data. This was a deliberate choice so that I could immerse myself in the data and perform low-level coding as

suggested by Urquhart, Lehmann, and Myers (2009). Several authors maintain that line-by-line coding cannot be delegated; it must be done by the researcher as it forces the researcher to saturate categories, minimises the possibility of omitting a category, ensures the categories are grounded in the data, and stimulates ideas (Glaser & Holton, 2004; Sarker, Lau, & Sahay, 2001).

There was no attempt to make the data fit certain predefined categories (Fereday & Muir-Cochrane, 2006) and I tried to prevent my knowledge and experience clouding my thoughts by continually reflecting on each category (Kelle, 2005). Although tedious, line-by-line coding reduces the possibility of the researcher overlooking a category, and eliminates the forcing of favoured ideas and concepts (Glaser & Holton, 2004). Categories are themes, ideas, variable elements or features in a sentence (Dick, 2005), which allow a researcher to separate, select, and sort the data analytically (Charmaz, 2006). A category may have several properties (or sub-categories) that answer questions about a category such as why, when, where and how (Charmaz, 2006; Strauss & Corbin, 1998).

The initial category names were generated by examining each sentence and picking out a word or concept from the sentence (in vivo codes) (Strauss & Corbin, 1998) or deriving the category from awareness and familiarity with the content of the sentence (Glaser, 1992). Open coding is the essence of textual analysis, as the researcher has to take decisions and make judgements about the meanings of data segments (Kohlbacher, 2006). Each sentence (data segment) was allocated a category that summarised or encapsulated the central idea of the sentence (Charmaz, 2006; Glaser & Holton, 2004; Kelle, 2005; Kohlbacher, 2006; Strauss & Corbin, 1990). I always attempted to make the categories fit the data, rather than make the data fit categories as suggested by Charmaz (2006). Over 200 categories were generated; Sheridan and Storch (2009) generated over 5,000 categories in their initial analysis.

Five questions were referenced throughout the open-coding process as suggested by Glaser and Holton (2004). The questions were, "What is this data a study of?" (What is the research problem?), "What category does this incident indicate?" "What is actually happening in the data?" "What is the

main concern being faced by the participants?" and "What accounts for the continual resolving of this concern?" (Glaser & Holton, 2004, p. 13).

Table 5 shows how open coding was used to create initial categories (column C) in an Excel spread sheet. Memoing continued in parallel with open coding and contributed to the naming, grouping, and defining of categories (Charmaz, 2006). A memo about the individual's position, race, gender, and experience at UCT was captured in line 1, while observations and notes were captured at the end of the record under the heading Memos. The Initials of the interviewee were recorded in column 'A', each line was numbered in column 'B', and then each line was given a category. Categories were frequently revised and renamed (Urquhart, Lehmann, & Myers, 2009) as interviews were compared and literature examined. Audit trails were maintained and each version of the spread sheet was given a version number, V1, V2 etc.

	A	B	C	D	E
1	Academic, white, male, 16 years at UCT				
2	Init	Line	Category	Links	Notes
3	KJ	1	Individual	Conversations	Lack of formal meetings where people can say what they want, without fear of victimisation or intimidation.
4	KJ	2	Strategy		Strategy is a very patchy thing at UCT, developed at different levels and in some cases strategic thinking is not recognised as falling into the category of strategy.
5	KJ	3	Change Influence	Managerialism	RACI is seen as horrific managerialism by many academics.
6	KJ	4	Change Process	Understanding	Need for implementation of change is not clearly understood, nor is the mechanism for implementation.
7	KJ	5			
:	KJ	:	:	:	:
90	KJ	88			Memos
91	KJ	89			Feels important at UCT, feels has made a valuable contribution, and could have done more
92	KJ	90			RESPONSE
93	KJ	91			A pleasure - have made some minor changes - see attached.

Table 5: A Tab in an Excel Spread sheet of an Interview.

That the development and creation of categories, properties, and relationships is an iterative process (Pandit, 1996) was confirmed as the processes of coding, comparing and defining occurred in chorus rather than in a procedural way. After each round of 2-4 interviews, all of the interviews were

re-coded and the number of times each category was mentioned was recorded. Table 6 shows the counts and categories after seven rounds of open coding. The numbers in brackets after each round of interviews, indicate how many people were interviewed. Table 6 also shows how the names and order of the categories changed as respondents were added. I decided with my supervisors that I had reached theoretical sufficiency (or theoretical saturation) and could stop interviewing when the results of rounds five, six and seven were indistinguishable apart from the totals in each category.

Round One (2)		Round Two (3)		Round Three (3)		Round Four (4)		Five(2), Six(3)& Seven(4)	
57	Paper	89	Staff develop.	88	Implementation	105	Influence/ Change	450	Individuals
57	Training	88	Org. Structure	87	Power	102	BP	359	Change process
41	FO & FOM	75	BP	87	Staff develop.	99	Staff development	232	Change influences
38	Registrar	68	Decision making	86	Influence/Change	97	Power	179	BP
28	Committee	63	IT & systems	85	Org. Structure	90	Implementation	149	Culture
21	Change	63	Strategy	82	BP	87	Org. Structure	144	Strategy
18	Appraisals	62	Paper	73	ICT	82	ICT	141	OS
16	Silos	61	Change	73	Paper/BP	75	Strategy	121	IT
15	Systems&PSoft	59	Registrar	66	Decision making	75	Culture	59	Additive effects
12	PASS	56	Race	66	Ideology/race	73	Paper/BP	44	Outcomes
11	Audit	52	Management	62	Strategy	71	Decision making		
10	Deans	51	FO	59	Management	68	Ideology/race		
9	Past	43	Committees	56	Conversations	61	Conversations		
7	Academic Freedom	39	Power	56	Culture	61	Management		
6	Bureaucracy	36	Appraisal	53	Socially excluded	56	Socially excluded		
6	Mission	35	Culture	44	History	50	Committees		
6	Status Quo	30	Implementation	38	Appraisals	45	History		
6	Responsibility	29	Accountability	37	Money	38	Appraisals		
3	Consultation	21	Aca. Freedom	35	Committees	38	Money		
3	Council	21	HR	35	Students	35	Students		

Table 6: Categories and Counts after Seven Rounds of Open Coding.

3.5.4.3. Data Triangulation

This research followed Anfara et al. (2002) by producing a matrix of findings and triangulated data sources; an extract from which is shown in Table 7. Data was collected from four sources, namely interviews (I), observations (O), literature (L) and documents (D). Each data source is corroborated by at least one other source, and each finding is corroborated by at least one other source (Anfara, Brown, & Mangione, 2002). Using different sources of data provides a researcher access to a broader range of issues such as historical, attitudinal and behavioural issues (Kohlbacher, 2006), prevents dependence on a single source, and helps to neutralise bias in any particular source (Anfara, Brown, & Mangione, 2002).

Major Findings	Source of data			
	I	O	L	D
Category 1: Strategy				
A clear mission statement is required	X		X	X
The strategy setting process should be participatory	X		X	
Category 2: Organisational Structure				
There are several options	X	X	X	
There should be as few levels as possible	X		X	X

Table 7: Matrix of Findings and Sources for Data Triangulation (Anfara, Brown, & Mangione, 2002).

3.5.4.4. Constant comparison

Data, categories, properties and the relationships between them were constantly compared as suggested by several authors (Anfara, Brown, & Mangione, 2002; Urquhart, Lehmann, & Myers, 2009). Interviews were coded bearing previous interviews and emerging categories in mind, while constantly comparing data sets, and making memos of any ideas that sprung to mind (Dick, 2005; Glaser & Holton, 2004). Constant comparison was used to create and validate all categories (Charmaz, 2006; Sarker, Lau, & Sahay, 2001).

I followed the five-step approach for constantly comparing qualitative interview texts as proposed by (Boeije, 2002). Step 1 compares sentences and concepts within a single interview, and step two compares interviews between groups of people who share similar experiences (for example a group of academics). The third step involves comparing interviews between different groups of people (academics and administrators). Step four compares interviews of pairs of people who may have had similar experiences (possibly working in the same department), and step five compares the pairs with other pairs. Each comparison was made using four criteria: analysis activities, aim, questions asked, and results (Boeije, 2002).

Grouping and defining the properties of each category can be seen as the third process of open coding (Strauss & Corbin, 1998; Urquhart, Lehmann, & Myers, 2009). This grouping results in what is termed core categories.

3.5.4.5. Core Categories

After numerous rounds of open coding, several core categories became apparent (Glaser, 1992). These core categories (core variables) emerged from the data, and could be connected or linked to most of the other emerging categories (Glaser & Holton, 2004). The core categories should clarify the research problem, and reflect the respondents' main concerns (Sarker, Lau, & Sahay, 2001; Simmons & Gregory, 2004).

Core categories should not be decided on too early on in the data collection, and were in fact only decided upon after the fifth round of open coding. It is reasonable to adopt categories as core categories when they are clearly the highest mentioned categories and are well connected to the other emerging categories (Dick, 2005; Glaser, 1998). In practice it has been found that researchers find more than one or two core categories, particularly if the coding is at the sentence level (Urquhart, Lehmann, & Myers, 2009) as it was in this research. Orlikowski (1993) for example, had six categories in her framework, and Brown (2005) had eleven. On completion of open coding, I had ten core categories with detailed properties or descriptions.

The conceptual relationships between a category and its properties and between categories are important and need to be mapped out (Charmaz, 2006; Pandit, 1996). This step is referred to as axial coding (Simmons & Gregory, 2004).

3.5.4.6. Axial Coding

Once the core categories had been identified, the process of axial coding began. I chose to use the paradigm model (Strauss & Corbin, 1990) as a tool for the identification of relationships in this research, in conjunction with Boeije's (2002) comparative analysis procedure.

Axial coding relates or connects categories with each other and with their properties (Charmaz, 2006; Kelle, 2005; Strauss & Corbin, 1990; Urquhart, Lehmann, & Myers, 2009). During axial coding,

some categories became properties of other categories (Urquhart, Lehmann, & Myers, 2009). In this stage of the research, it became evident that **change** and **individuals** were the two dominant categories.

At this stage, the data was examined with a view to suggesting relationships among a category and its sub-categories and to “support or falsify a plausible relationship of a category with its subcategories” (Sarker, Lau, & Sahay, 2001, p. 40). Care was taken to follow the advice of Sarker, Lau and Sahay (2001) and to be self-reflective to avoid possible biases creeping in, and to constantly compare emerging categories and ideas.

The paradigm model was developed to assist researchers to code empirical data (Kelle, 2005). Although different authors use four or five slightly different headings in their version of the paradigm model (Kelle, 2005; Sarker, Lau, & Sahay, 2001; Urquhart, Lehmann, & Myers, 2009), I chose to use Kelle’s (2005) four headings ‘conditions’, ‘interaction among the actors’, ‘strategies and tactics’ and ‘consequences’.

To apply the paradigm model, I attempted to discover which phenomena of a category, namely, conditions, interactions, strategies, and consequences are relevant for the investigation, with special emphasis on the strategies of the actors and on the human interactions (Kelle, 2005).

A three-phase approach to axial coding was followed; first, the records were clustered and compared in a way suggested by Boeije’s (2002) second step. This refined the categories and their properties and dimensions. Secondly, the remaining three steps in Boeije’s (2002) procedure were used to derive an approach to further refine the categories. Thirdly, the Strauss and Corbin (1990) paradigm model was used to link the categories.

Phase 1 consisted of comparing interviews of all the respondents (step 2 of Boeije’s (2002) comparative analysis procedure). The records of all the interviews were grouped in an Excel spreadsheet, recoded into the ten categories and sorted by categories and properties. This enabled the examination of the combined comments for each category and its properties and achieved answers to

Boeije's (2002) questions such as: what do interviews reveal about categories and what are the similarities and differences between different interviews?

Phase 2 followed the third step of the comparative analysis procedure. This analysis grouped the respondents into three groups and compared what each group said about categories. The intention was to see if they see things similarly or differently and to discover any nuances, details or new information about the categories (Boeije, 2002).

The third phase commenced by using the Strauss and Corbin (1990) paradigm model to link categories. To use the paradigm model, one must explain under what '**conditions**', '**interactions among actors**' will change, what the '**strategy**' is, and what the '**consequences**' are likely to be (Sarker, Lau, & Sahay, 2001; Strauss & Corbin, 1990).

Causal, intervening, and contextual conditions between categories may be examined. Two types of causal conditions between categories were identified first; direct and indirect. Causal conditions are those which cause things to happen, intervening conditions affect relationships between other categories (Kelle, 2005). Each category can be involved in multiple conditions. Thus, the paradigm model was completed for each category and many propositions were developed as detailed in chapter five.

3.5.4.7. Selective Coding (Theoretical Coding) and concept sorting

Selective coding (sometimes called theoretical coding) is so called as it involves coding selectively for aspects related to the core categories (Charmaz, 2006; Dick, 2005; Simmons & Gregory, 2004). A matrix was used which enabled the final grouping of the categories and the explanation of the phenomena in the data (Glaser & Holton, 2004). Selective coding was used to strengthen links between categories (Sarker, Lau, & Sahay, 2001) and to offer a framework to help organise and integrate the substantive categories into more meaningful relationships and, in the end, a model or landscape (Glaser & Holton, 2004; Kelle, 2005; Simmons & Gregory, 2004).

The causal relationships identified between the various categories were summarised in a matrix, in order to identify the density of relationships and patterns. For example, having analysed the category Change Influences (CI), one might find that CI affects and or influences the Strategy category through one proposition, while CI influences Culture through three propositions as shown in Table 8 (Brown, 2005). When the matrix has been fully populated, one has a summary of all the causal conditions.

	CI	Strategy	CP	Culture	OS	BP	IT	Individuals	AE	Outcomes	TOTALS
Change Influences (CI)		1	1	3	1	1	1	3	1	2	14
Strategy			2	1	1	1	1	1	1	1	9
Change Processes (CP)		2	3	3		2	3	4		2	19
Culture		2	2	1	1	2	1	2	1	1	13
OS		1	1	1		2		2			7
BP		1	3	1			1	2			8
IT		1	1	1	1	1	1	1			7
Individuals	1	2	4	2	1	2	2	3	2	2	21
Additive Effects (AE)	1	1	1	1				2	1	1	8
Outcomes	1	1	1	1		1		1	1		7
TOTALS	3	12	19	15	5	12	10	21	7	9	113

Table 8: Matrix of Causal Relationships between Categories.

The intervening and contextual conditions are not shown in a matrix as they characterise the impact of a category on the relationship between other categories.

The analysis done in the axial coding stage assists with the development of a model, as can concept sorting. Concept sorting refers to the conceptual sorting of memos, not data (Simmons & Gregory, 2004) to assist in formulating a model or theory (Glaser & Holton, 2004). Memos may be sorted, diagrammed, and integrated to create links and comparisons between categories (Charmaz, 2006). Sorting may lead to the creation of more memos, more data analysis, more data collection (Simmons & Gregory, 2004) and the gathering of more literature.

Having outlined the process adopted in applying grounded theory method to this research, it is important to discuss how to maintain a level of quality in the research.

3.6. QUALITY OF RESEARCH

Several authors have commented on problems with the quality, rigor, and validity of research conducted using an interpretive epistemology (Kawalek & Jayaratna, 2003; Klein & Myers, 1999), qualitative research approaches (Anfara, Brown, & Mangione, 2002; Goulding, 2005; Kohlbacher, 2006), and grounded theory methods (Allan, 2007). How quality is defined and measured is unclear (Anfara, Brown, & Mangione, 2002; Walsham, 1995) and there are no clear criteria of how to evaluate research (Kawalek & Jayaratna, 2003). This section examined the quality of research done from the perspectives of an interpretive epistemology, a qualitative research approach, and the data.

3.6.1. Interpretive Research Quality

Klein and Myers (1999) suggested a set of seven principles (Table 9) for evaluating interpretive IS research which has been used extensively in the IS field. Walsham (2006) cautioned that these principles are useful to evaluate the process of the research, not the outcome. This is recognised and the evaluation of the final outcome is discussed in chapter 6. The intent here is to evaluate the process or methodology. Each principle is listed, followed by how it was applied in this study, it should be noted that the comments made often apply to more than one principle.

Whilst all seven principles (Klein & Myers, 1999) for conducting and evaluating interpretive research were taken cognisance of in this research, it was also important to consider the quality of the qualitative research.

Principles for conducting and evaluating interpretive research	Application in this study
<p>1. The Fundamental Principle of the Hermeneutic Circle</p> <p>This principle suggests that all human understanding is achieved by iterating between considering the interdependent meaning of parts and the whole that they form. This principle of human understanding is fundamental to all the other principles.</p>	<p>The steps taken during open and axial coding were concerned with relating parts to the whole. The meaning of each sentence of a respondent's record was considered in terms of the overall categories in an iterative fashion over several rounds of open coding. The categories were examined from different perspectives using Boeije's (2002) constant comparative analysis procedure, and the relationships were examined using Strauss and Corbin's (1990) paradigm model.</p>
<p>2. The Principle of Contextualization</p> <p>Requires critical reflection of the social and historical background of the research setting, so that the intended audience can see how the current situation under investigation emerged.</p>	<p>This principle was applied through critical reflection of the social and historical background of the institution (Chapter 4), and in particular the recognition of the impact of dated concepts and ideas. This principle is of significant importance in this research, as prejudices such as racism, sexism and elitism still play a role in the thinking and actions of many people in UCT (Mahlangu, 2009; Pretorius & Dibetle, 2009).</p>
<p>3. The Principle of Interaction Between the Researchers and the Subjects</p> <p>Requires critical reflection on how the research materials (or "data") were socially constructed through the interaction between the researchers and participants.</p>	<p>Data was a personal construction of the respondents of their and their fellow organisational members' actions (Walsham, 2006). My preconceptions and biases were acknowledged, and it was accepted that interaction could change the perceptions of both researcher and respondents. To overcome these biases, I used a "dramaturgical model of the interview" (Goffmann, 1959; Myers & Newman, 2007, p. 12). Each respondent was emailed a copy of their interview and asked to add, change, or delete aspects.</p>
<p>4. The Principle of Abstraction and Generalization</p> <p>Requires relating the idiographic details revealed by the data interpretation through the application of principles one and two to theoretical, general concepts that describe the nature of human understanding and social action.</p>	<p>A great deal of the interviews was about abstractions such as fear, managerialism, and culture rather than physical or concrete events. Many generalisations or broad statements were made by respondents such as 'strategy is generally not implemented.' Both abstraction and generalisation were used in the coding processes in an attempt to explore human and social actions, and the findings were then combined with relevant literature.</p>
<p>5. The Principle of Dialogical Reasoning</p> <p>Requires sensitivity to possible contradictions between the theoretical preconceptions guiding the research design and actual findings ("the story which the data tell") with subsequent cycles of revision.</p>	<p>The respondents were encouraged to tell a story rather than answer questions. As suggested by Strauss & Corbin (1998) the dramaturgical 'script' was used to provide a context for the telling of "a story about the relations among things or people and events" (Strauss & Corbin, 1998, p. 124).</p>
<p>6. The Principle of Multiple Interpretations</p> <p>Requires sensitivity to possible differences in interpretations among the participants as are typically expressed in multiple narratives or stories of the same sequence of events under study. Similar to multiple witness accounts even if all tell it as they saw it.</p>	<p>As respondents were giving their impressions of certain events, processes, and people, this was particularly relevant in this research. Comparisons were made within groups, and between groups. Care was taken to include a range of interviewees at all levels and spanning academic and administrative areas. Care was taken to have representatives of different races and genders, and viewpoints.</p>
<p>7. The Principle of Suspicion</p> <p>Requires sensitivity to possible "biases" and systematic "distortions" in the narratives collected from the participants.</p>	<p>To avoid taking things at face value or allowing bias to creep in, comments were never accepted at face value, and potential bias was noted when it was detected. Discussions took place during some interviews to substantiate data and points raised in previous interviews to substantiate or contradict facts and events. Wherever a fact or event was not corroborated or confirmed by at least one other respondent, this was made clear in the analysis.</p>

Table 9: Summary of Seven Principles for Interpretive Field Research (Klein & Myers, 1999).

3.6.2. Qualitative Research Quality

Research quality and rigor was assessed based on the qualitative criteria as defined by Anfara, Brown, and Mangione (2002) as expanded and commented on in Table 10. These thirteen criteria cover procedures to ensure internal and external validity, reliability, and objectivity of qualitative data.

Validity is to do with the credibility and transferability of the findings and it is recommended that researchers employ at least two of the seven validity strategies (Creswell, 1998). The strategies covering the aspects of validity, reliability and objectivity are covered in various sections of this chapter and the extent to which this research complies with the strategies is noted on the table itself. It can be seen that there is good compliance with the recommendations.

Quantitative term	Qualitative term	Strategy employed	Comments
Internal validity	Credibility	1. Prolonged engagement in field 2. Use of peer debriefing 3. Triangulation 4. Member checks 5. Time sampling	1. Data collection commenced early in 2008 and continued into 2010. 2. Used selectively by giving respondents the views of their peers without disclosing names, and reflecting on the research with colleagues. 3. Collected data from several sources including interviews, documents, etc, and then comparing the data by using constant comparative analysis. 4. All participants were allowed to check and verify the accuracy of their interview records. 5. Not used.
External validity	Transferability	6. Provide thick description 7. Purposive sampling	6. Entails using direct quotations from respondents (Myers & Newman, 2007) and was used in the research. 7. Used to select first respondents.
Reliability	Dependability	8. Create an audit trail 9. Code-recode strategy 10. Peer examination 11. Triangulation	8. An audit trail was created and maintained of all interviews, responses, and coding. 9. All data was open coded several times, and then axially coded, and finally selectively coded. 10. See item 2. 11. See item 3.
Objectivity	Confirmability	12. Triangulation 13. Practice reflexivity	12. See item 3. 13. Constantly.

Table 10: Quantitative and Qualitative Criteria for Assessing Research Quality and Rigor (Anfara et al., 2002).

3.6.3. Data Quality

As the quality and credibility of a study begins with the data, Charmaz (2006) offers eight questions, which help researchers evaluate data.

1. *Has one collected enough background data about persons, processes, and settings to portray a full range of contexts?* A full analysis of the university setting is given in the next chapter. Interviews were open and allowed respondents to discuss the background of any of the problem areas. Care was taken to select interviewees from all levels of the university, from different racial groups and genders to ensure a range of views.
2. *Has one gained detailed descriptions of a range of participants' views and actions?* Each interview began by asking interviewees to discuss their career in the university. This was done firstly to collect background data, secondly to explore their views on events, thirdly to relax the interviewee, and fourthly to establish a rapport. Establishing rapport with an interview subject and respecting their dignity is an important prerequisite to gaining good data (Charmaz, 2006). Respect was shown by making an effort to understand each respondent's views and actions and empathising with their situations.
3. *Do the data reveal what lies beneath the surface?* I asked open-ended questions about respondents' views and actions. I attempted to find out respondents assumptions, and what they take for granted, I also tried to recognize what they did not say.
4. *Are the data sufficient to reveal changes over time?* All respondents had been at the University for over five years and were asked questions relating to different times.
5. *Has one gained multiple views of the participants' range of actions?* I aimed to understand the respondent's views and to interpret them (Charmaz, 2006). I attempted to obtain multiple views of the participants' range of actions by asking other respondents to comment on specific actions.
6. *Has one gathered data that enables one to develop analytic categories?* The data gathered allowed the development of analytic categories.

7. *What kind of comparisons can one make between data?* Various comparisons were made using the five-step approach for comparing interview texts as described by Boeije (2002) and the paradigm model of Strauss and Corbin (1990).
8. *How do these comparisons generate and inform your ideas?* These comparisons helped develop an understanding of concepts, categories and the relationships between them.

As can be seen, the questions have all been addressed. Having covered the quality of interpretive research and qualitative research using two models and briefly covered the eight questions of Charmaz (2006) on data quality, the next question to be addressed is the extent to which this research considered ethical matters.

3.7. ETHICAL CONSIDERATIONS

An ethical researcher should clarify his or her philosophical views on ethics as well as his or her ontological and epistemological assumptions (Roode, 2008). I stated my interpretivist ontological and critical interpretivist epistemological assumptions at the beginning of this chapter.

Permission from the university to conduct this research was obtained. A set of interview questions was drawn up and submitted to satisfy a request from the Faculty Ethics in Research Committee, although the questions were later modified and reduced, and were not specifically asked. Permission was obtained from the Vice-Chancellors office, the Senate Ethics in Research Committee and the Registrar's office.

The research safeguarded all respondents' rights, and was designed and conducted so that respondents did not suffer any harm, pain, discomfort, embarrassment or loss of privacy (Blumberg, Cooper, & Schindler, 2005; Hair, Babin, Money, & Samouel, 2003). Documents showing the topic and purpose of the research, research questions, and the approval letter from the University were always on the table throughout every interview. Data from each interview was captured and emailed to the

participant shortly after the interview, and every individual had the right to add, change or delete any information from the record,

When change is suggested to any organisation or social system, resistance, and fear are inevitable from some parties within the system whilst support can be expected from other parties, this too should be viewed as data to be analysed (Simmons & Gregory, 2003). The intention was always to analyse the data objectively despite any possible preferred outcome (Blumberg, Cooper, & Schindler, 2005). Different respondents and different individuals within the organisation can be expected to desire different outcomes from the research; I refrained from taking sides in such a situation, but rather treated the debate as data (Simmons & Gregory, 2003).

3.8. LIMITATIONS AND RISKS

This section attempts to identify the limitations and risks of this research within the context described and the decisions made. Every method contains limitations, some may be contained in the assumptions it contains, others may occur through the way the methods were used (Ulrich, 2001). Limitations include issues such as the competence of the researcher and time (Flyvbjerg, 2006; Simmons & Gregory, 2004); the researcher's preconceptions in data collection and analysis, and different researchers may arrive at different categories.

3.8.1. Generalisation

The focus of this research was to explore and develop a landscape of how change in a university is managed. The landscape was developed based on data from a single university. Some may consider this to limit the possibility of generalisation. However, "it is incorrect to conclude that one cannot generalize from a single case" (Flyvbjerg, 2006, p. 225).

Any generalisation from a single case study lies in the "plausibility and cogency of the logical reasoning used in describing the results from the cases, and in drawing conclusions from them" (Walsham, 1993, p. 15). The concepts and relationships of the change model derived in this research are

supported in many respects from a wide range of literature; it may be applicable to other universities and, to some extent, to other organisations. The generalisability of a change management landscape to different settings is important to the management of organisations in general (Lee & Baskerville, 2003).

Perhaps the issue of generalisation is best summed up by Orlikowski and Baroudi (1989) as quoted by Walsham:

“The argument of non-generalizability is often raised against studies conducted in the interpretative tradition. It is necessary first to make an important distinction between the positivist sense of generalization (of causal relationships from a sample to a population), and a second mode of generalization that is ‘the extension from the micro-context to the totality that shaped it’ [Burawoy1985]. In the latter view every particular social relation is the product of generative forces or mechanisms operating at a more global level, and hence the interpretive analysis is an induction (guided and couched within a theoretical framework) from the concrete situation to the social totality beyond the individual case” (Walsham, 1993, p. 15).

3.8.2. Reticence

As all the people who were interviewed were employees of the university, they may have been reticent of speaking too openly about the university and their colleagues. Some demonstrated a fear of talking with me on UCT property and requested that the interviews take place in a neutral venue. Some may have had a sense of loyalty or fear to the organisation and this was demonstrated by comments such as “we dare not whisper about that topic in these corridors.” Some interviewees appeared to disagree with what they were saying, but appeared to be toeing the party line; these individuals did not appear comfortable and kept a watchful eye on the door, these observations were noted in my memos. The majority seemed to have no reticence and appeared to speak openly and without fear. I tried to confirm most statements through documents or other interviewees.

3.8.3. Completeness

The completeness of the landscape is not claimed, and in line with accepted research practice, the landscape is modifiable and awaits further data and work. However the landscape is complete in that it is “as far as the study can take the analyst” (Glaser & Holton, 2004, p. 19). The landscape explains the aspect of change and does try to explain how people within the university persist in managing the university.

University of Cape Town

Chapter 4 : University of Cape Town (UCT)

No study of any South African institution can be complete without some understanding of the social history of the country; therefore, this chapter opens with a contextualisation of South Africa. The remainder of the chapter is structured around the ten literature review sections, and the questions derived from the literature. Each of these sections provides the context at UCT for one of the questions.

South Africa has been inhabited for over 100 000 years by a diverse group of people including the San, Khoekhoe and Bantu-speaking peoples. Europeans first settled in South Africa in the mid-1650s, from which time slaves were imported from India and other parts of Africa. Dutch, German, and French colonists arrived in the second half of the 18th century after the Dutch colonised the southern tip of South Africa. The British annexed the colony in 1795 and power shifted between the British and the Dutch until 1806, when the Britain regained and retained control. Three other colonies (states) were formed as the European settlements expanded. During the 1860s, many Indians arrived as indentured labourers to work on the sugar plantations, and Chinese began arriving in the 1870s to work on the gold mines. In 1910, the Union of South Africa was formed by uniting the four states under British rule, and white domination. Although white people made up less than 22% of the population, they controlled the government and the economy. In 1948, the Nationalist Party gained power, which it held until 1994. During this period, Apartheid became the official government ideology (South African Info, 2009).

Apartheid subjugated and humiliated millions of people by enforcing white superiority and privilege through the judiciary. Basic human rights, such as the rights to equality and dignity were violated (Sachs, 2009). In the 1950s, 87% of the land in South Africa was owned by the approximately 27% of the population who were white (Mandela, 1995). All citizens were racially classified and all state issued identification numbers contained an individual's racial classification. If the eleventh and twelfth digits were '00', it meant that the person was white while '01' signified that the person was coloured (mixed race), '02' Malay, '04' Chinese, '05' Asian and so on (Pogrand, 1997, p. 79). The division of the oppressed groups was neither accidental nor natural, but designed to undermine solidarity and create tensions

between groups (Boesak, 2009). Government policy was that all Blacks would become citizens of 'independent' homelands, and not be citizens of South Africa. Ten self-governing homelands for different black ethnic groups were established, and four were granted "independence" by South Africa. These Black independent states were only recognized by South Africa and each other, and were re-incorporated into South Africa in 1994. South African governments of the 1920-1990s infamously used power and laws to segregate and exclude the black majority of the population. Some of these acts are listed below in chronological order so that one can see the progression of racial legislation.

The Native Urban Areas Act (1923) proclaimed that all urban areas in South Africa were for whites only, and forced all black males over sixteen to carry a reference book or 'pass' book at all times. The passbook stated where they could live and work, where they actually did work, and where they could travel. Failure to produce a pass meant a fine, imprisonment, or both (Mandela, 1995). The pass system was extended to include black women in the late 1950s with the enactment of The Pass Laws Act (1952). The Prohibition of Mixed Marriages Act (1949) made it illegal for people of different races to marry each other (the term 'mixed' referred to the mixing of racial groups), and the Immorality Amendment Act (1950) outlawed sexual relations between people of different racial classifications. All citizens had to be labelled and registered by race in terms of the Population Registration Act (1950), and The Group Areas Act (1950) forced people of different races to live in separate, designated areas, and defined where people of each racial group could own or rent land and where they could trade (Mandela, 1995). This act was cited as the legal basis of the infamous 'forced removals' undertaken by the government of the time, during which some three and a half million people were forcibly removed from areas declared as 'white' and relocated to peripheral and far less desirable locations such as the Cape Flats. The Suppression of Communism Act (1950) made any doctrine that promoted change through any disturbance or disorder illegal, and in terms of the Separate Representation of Voters Act (1951), only whites could vote for members of parliament. The Bantu Education Act (1953) required all schools for black pupils to be run by the state or receive reduced subsidies, and planned for blacks to be trained for menial, subservient work. All public amenities such as parks, buses, libraries, toilets, beaches,

restaurants, hotels and cinemas were segregated by race in terms of The Reservation of Separate Amenities Act (1953) (Mandela, 1995). The Public Safety Act (1953) allowed the state to declare martial law and detain people without trial and, The Extension of University Education Act (1959) excluded all people who were not white from racially 'open' universities (Mandela, 1995). In 1958, almost 400 000 black South Africans were convicted of offences under the various control laws (Pogrand, 1997).

On the 21 March 1960, Robert Sobukwe led a non-violent mass protest in Sharpeville, Soweto against the pass laws in what turned out to be his last day of freedom. Sobukwe persuaded people to go to police stations throughout the country without their passbooks and demand to be arrested. What followed became known throughout the world as the "Sharpeville Massacre" as 68 protesters were killed and another 186 injured by armed police officers at Sharpeville police station (Pogrand, 1997). Among the injured were 40 women and 8 children, with over 70% of the victims being shot in the back (Pogrand, 1997).

Nelson Mandela captured what it was like to live in such a society in the following quotation in which "African" means a black person (Mandela, 1995, p. 109).

"To be an African in South Africa means that one is politicized from the moment of one's birth, whether one acknowledges it or not. An African child is born in an Africans Only hospital, taken home in an Africans Only bus, lives in an Africans Only area and attends Africans Only schools, if he (sic) attends school at all. When he (sic) grows up, he (sic) can hold Africans Only jobs, rent a house in Africans Only townships, ride Africans Only trains and be stopped at any time of the day or night and be ordered to produce a pass, without which he (sic) can be arrested and thrown in jail. His (sic) life is circumscribed by racist laws and regulations that cripple his (sic) growth, dim his (sic) potential and stunt his (sic) life."

On 2 February 1990, FW de Klerk effectively announced the end of the white regime and the 25-year-old state of emergency. He lifted the ban on many organisations including the African National Congress (ANC), made a commitment to release Nelson Mandela, suspended the death penalty, and

announced a return to press freedom. He also did away with a great deal of the racial legislation in 1991.

Nelson Mandela was released from prison on 11 February 1990, and South Africa held its first free and democratic election in April 1994. The ANC won with a 62% majority, and Nelson Mandela became South Africa's first democratically elected president. After being a pariah state for many years, South Africa was welcomed back into the international community. When Mandela retired in 1999, he was succeeded by Thabo Mbeki, who in turn was replaced by Jacob Zuma in 2009. Despite 16 years of democracy, "the persistent matters of race and identity" continue to plague South Africans (Boesak, 2009, p. 9). Racism has not yet been defined, recognised, acknowledged, faced, nor overcome in South Africa, it still permeates all aspects of life (Boesak, 2009).

South Africa continues to be a divided nation in terms of education and distribution of wealth. The country ranked 129th out of 182 countries with a Human Development Index (HDI) of 0,683 in 2007 (Klugman, 2009). The HDI examines three dimensions of human development, namely life expectancy, education, and standard of living. "These three dimensions are standardized to values between 0 and 1, and the simple average is taken to arrive at the overall HDI value in the range 0 to 1" (Klugman, 2009, p. 11). The Human Poverty Index for developing countries (HPI-1) ranked South Africa as 81st among 135 developing countries in 2006 (HDI, 2008), and 85th in 2007 (Klugman, 2009). The HPI-1 measures the percentage of people who live below the threshold level in the three dimensions of the HDI. South Africa is, however, a country with two distinct and separate groups of people: a small, affluent group, who live in a first world environment, and a much larger, impoverished group who live in a third world environment. There are huge gaps between the two groups which affect all aspects of life (Waddock, 2007) and thus all statistics. South Africa had a GENI coefficient of 0.73 in 2001 and it has been said that as "one of the most unequal societies in the world, more than half of all South Africans live in poverty, more than 10% of South Africans live in absolute poverty, and the situation is getting worse" (Hall, 2007, p. 21). Over 58% of the population live below the local poverty line and the unemployment rate was at

42% in 2007 (Hall, 2007). In 2002, an analysis of senior management positions in South Africa revealed that women held 34% of these positions (men 66%), while racially blacks held 35%, coloured held 15%, and whites (who made up 14% of the labour force) held 50% of these positions (Makgetla, 2004). The rates for 20-24 year olds enrolled in public higher education in 2009 were, 13% of blacks, 54% of whites, 12% of coloureds, and 43% of Indians (Kane-Berman, 2010). The 2009 mid-year population estimates for South Africa, estimated that 79% of the population were black, 9% Coloured (mixed race), 9% white and 3% others (Lehohla, 2009).

Hofstede normalised values for each of the four main dimensions of culture, and rated countries on the dimensions (Marcus & Gould, 2000). Using Hofstede's dimensions of culture, South Africa achieved the following rankings in 1978-83. In power-distance SA ranked 35th out of 53, a high ranking indicates centralised power bases, hierarchical organisations and marked differences in salary and status. South Africa ranked 16th (high) in Individualism (which is surprising given the collective nature of many of its peoples). The country was rated 13th (high) in masculinity, indicating a strong masculine culture of assertiveness, competition, and toughness, and 39th (low) in uncertainty avoidance, indicating people tend to be less expressive and to toe the line rather than display aggression or robust emotions (Marcus & Gould, 2000). The study was conducted by interviewing IBM employees (Marcus & Gould, 2000), who in South Africa at that time would have been predominantly white males. It will be shown that the higher echelons of UCT are dominated by white males, making Hofstede's study relevant.

It is against this background that UCT is examined since, as mentioned, it is impossible to fully understand the operations of any entity without first understanding the context in which that entity operates. South Africa's oppressive and exclusionary history has tainted many of the policies and practices still in place at higher education institutions throughout the country today, and will surely influence the manner in which these entities are managed going forward. The following section examines some of the change influences which contribute positively or negatively to the implementation of change at UCT.

4.1. CHANGE INFLUENCES

By way of introduction, a brief overview of the history, ethos, infrastructure, culture, and achievements of the University will be provided.

Founded in 1829, UCT is South Africa's oldest university and is currently Africa's leading teaching and research institution. It has several natural advantages such as its location on the slopes of Table Mountain, its rich and diverse fauna and flora, excellent infrastructure and unique people (Moran, 2007). The University's mission statement reads that it aims "...to be an outstanding teaching and research university, educating for life and addressing the challenges facing our society." These challenges are addressed through various means including research, policy development, the presentation of public commentary and empowerment of external communities and, of course, the provision of opportunities for lifelong learning. A longstanding record of academic and scholarly achievement including having had the world's first heart transplant performed at the University hospital in 1967 by Dr. Christiaan Barnard (Ramphela, 2008), makes UCT a proud and impressive tertiary institution.

As well as its unique physical positioning, it is also uniquely positioned culturally, straddling the two diverse worlds existing within South Africa (discussed above). Whilst boasting many first world attributes such as top class teaching facilities and IT applications as well as several world renowned researchers, there are also many aspects of a developing world university which are prevalent. A large proportion of the student body is made up of students from low-income families who have lived in homes without running water or electricity, and who face problems ranging from finding affordable transportation to and from the University on a daily basis, to paying student fees and student housing accounts.

Demographically, UCT claims to maintain an equal ratio of black to white students and a near-even split between men and women (About the University, 2008). The University also has the highest number of A-rated researchers in South Africa and has steadily been moving up the QS World University

Rankings to its current position at 107 (Times University Rankings, 2010), since it first featured on the list in 2007, ranked 200th, (Times University Rankings, 2009).

Research output is also steadily increasing. The 2008 report on research to Senate and Council stated that the University publication count grew by 12% from 2007 to 2008, research income over the same period grew by 26%, and patent applications increased by 28%. The number of National Research Foundation (NRF) rated researchers at UCT rose by 5% overall, and the number of A rated or world leaders in research rose by 10% (UCTResearch, 2009).

Today, UCT is a sprawling, cosmopolitan academic institution with students and staff of all colours and creeds walking its halls. For almost 60 years, however, it remained a white male preserve with women first being accepted for enrolment 123 years ago and the first few blacks only 90 years ago under special conditions. The laws of the country prohibited people of colour from studying at universities such as UCT, without obtaining individual Ministerial consent until the 1990s.

It is clear from the above that whilst UCT faces a variety of challenges, many unique to the South African context, it is a university on the rise that continues to develop and achieve at an internationally recognised level. This contributes to a rise in student interest in UCT, and more and more student applications are being received every year. This coupled with the international trend toward massification, from which UCT has not been exempt, have led to a dramatic increase in student numbers over the past decade.

In 2000, the total student body comprised 16,976 students; in 2010, it was estimated that that number had risen to 24,000, a 40% increase over 10 years (with an average increase of 4% per annum) (IPD, Teaching and Learning Report 2008, 2010). According to the August 2009 Executive Dashboard, UCT had 15,979 academic applications in 2009, which was 6.5% more than in 2008, which had been 18.6% more than in 2007 (IPD, August 2009 Executive Dashboard, 2009). The number of offers made by

the University in 2009 increased by 18.6% and enrolment figures by 4.9% (Table 11). The postgraduate and international proportions remained steady at 28% and 19% of the total respectively.

New Undergraduate Student Enrolments								
Year	Black	Coloured	Indian	White	Other	International	Total	% change
2006	814	587	276	1481	101	519	3778	
2007	862	552	253	1534	71	473	3745	-0.1%
2008	1038	649	299	1649	42	549	4226	12.8%
2009	1299	647	372	1615	27	476	4436	4.9%

Table 11: UCT's New Undergraduate Student Enrolment Figures.

With these rapidly increasing student numbers, it is important, in order to redress the inequities of the past and monitor progress, that the University maintains racial statistics on students. UCT embarked on several programmes to change the student profile in the 1990s, which included recruiting students from non-traditional schools, alternative admission criteria, financial aid, and academic support (Ramphela, 2008). In the 1980s, UCT produced no Black engineers whereas in 2004, 47% of all Black engineering graduates in South Africa graduated from UCT (Ramphela, 2008). Nevertheless, despite such success, over the period 2004 – 2008, there were still more international students than black South African students enrolled at the University (IPD, Teaching and Learning Report 2008, 2010). In 2009, 39% of new applications and 29% of enrolments were of black students while 36% of enrolments were of whites, 15% of coloureds (mixed race), 8% of Indians, and 11% of international students. Bear in mind that the South African population at the time was made up of 79% blacks, 9% whites and 9% coloureds (Lehohla, 2009), and that university headcount throughout South Africa in 2008 was 62% black, 25% white, 6% coloured and 7% Indian (Kane-Berman, 2010). Clearly, therefore, there is a long way to go in terms of achieving proportional representation.

The proportion of 'disadvantaged' or 'underprepared' students (or 'non-traditional' students in the UK) has, like the number of black applicants, also grown. These terms are often synonymous with a poor educational background and regrettably, only 20% of students admitted in 2000 graduated within the regulation time while 56% failed to graduate at all (Boughey, 2009). The length of most undergraduate degrees in South Africa is three years, but a significant number of students exceed that. In 2008, only

33% of the 2004 UCT student intake had completed a qualification and 17% were still studying in 2009 (IPD, 2010). This effectively means that if all 17% studying in 2009 qualified, only 50% of the initial class of 2004 left UCT with a qualification. The majority of the students affected were those who were historically 'disadvantaged' i.e. black South Africans (Boughey, 2009) and statistics show that "less than 5% of the black age group is succeeding in any form of higher education" (UCTStratPlan, 2009, p. 22).

From the above it is clear that the student body has both grown immensely (massified) and diversified as larger numbers and a greater variety of students have enrolled (Boughey, 2009). This increase in numbers and diversity, plus other changes means that UCT's resources are becoming increasingly stretched and the university needs to develop and implement a strategy.

4.2. STRATEGY

Many Universities are unsure and unclear about their strategies and where they want to go (Olsen, 2005), and have difficulty fully utilising the human capital they have at their disposal (Gunn, 1995; Schofield, 1996).

The Strategic Intelligence Project Team (SIPT) consists of a committee of 17 administrators and one academic. This committee appears to have no idea where it is going or what it is trying to achieve, and has no permanent project members and so no commitment from UCT or staff. A SIPT Aide Memoire of 12 May 2009 stated, "A lot of information is available but in different places at different levels, integration is a Challenge and will require centralisation, need to have an audit of where the data is, where it will come from."

In 1994, over 90% of academic and administrative staff members of most historically white institutions (such as UCT) were white males, UCT thus embarked on a two pronged strategy programme to transform the staff profile (Ramphela, 2008). A recruitment strategy was put in place to recruit Africans abroad to come and teach at UCT. The second longer term strategy was to recruit and develop black people and women to academia. This programme was named Growing Our Own Timber (GOOT)

and has been adopted by other institutions in South Africa (Ramphela, 2008). The University Quality Improvement plan of 2009 identified staff recruitment as a major problem, and stated that there were, “problems with traditional staff recruitment and selection policies and procedures which impact on institutional representivity targets” (UNIQUP, 2009, p. 13).

An ‘Executive dashboard’ is mailed out monthly, but it contains no analysis or proposals. Each month reports on a different set of indicators as per the Operations Management Advisory Group (OpsMAG) request. March reports on student and staff housing, new students admitted, waiting lists, demand, vacation accommodation for the past year and a review of performance against plan. August reports on student applications and offers (academic, housing, and financial aid). Although strategies are discussed and planned, there appears to be few matters “taken further through formal proposals” (Moran, 2007). According to Olsen (2005), universities should critically examine their purpose, values, organisational structure, governance systems, resources, business processes, and social obligations.

Shortly after his appointment in 2008, the Vice-chancellor started a process to revise UCT’s strategic plan for 2009-2013. The plan “highlights the interventions” required with “a focus on the change we need to introduce” (UCTStratPlan, 2009, p. 1). The process was inclusive, widely debated and communicated on campus, and was accepted by UCT. The plan has the following six strategic goals, each of which has several action plans, and each of which has a short title in bold.

1. Internationalising UCT with an **Afropolitan** Niche.
2. **Transformation** of UCT towards Non-Racialism – Redress, Diversity, Inclusiveness, and the Recognition of African Voices.
3. Working toward a desired **Size and Shape** for UCT.
4. A vision for the development of **Research** at UCT: Greater impact, greater engagement.
5. Enhancing the quality and profile of UCT’s **Graduates**.
6. Expanding and enhancing UCT’s **Contribution** to South Africa’s development challenges.

Dr. Price explained the word '**Afropolitan**' by saying the 'Afro' element describes from where UCT is engaging with the rest of the world, while the 'politian' element suggests a cosmopolitan, sophisticated future oriented approach to understanding Africa (Price, 2008). UCT aims to become a niche player in the world university system, by becoming the intellectual hub between the rest of the world and Africa. Examples of action points for this goal include, attracting post-doctoral students from Africa and abroad and developing staff skills to teach diverse and intercultural student bodies (UCTStratPlan, 2009).

UCT's **transformation** goal "is a more representative demographic in the staff and student bodies, an enhanced intellectual diversity, a transcendence of the idea of race, an improved institutional climate and an enhanced focus of our intellectual enterprise on African perspectives" (UCTStratPlan, 2009, p. 8). In order to bring about transformation, interventions along race and gender lines are necessary. Action plans include changing staff selection procedures and growing our own academics.

Size and Shape refers to the size of the student population, UCT aspires to 24 000 students, and the shape is to have 41% of the students in Science Engineering and Technology, 23% in Business/Management and 36% in Humanities. Plans include increasing the number of postgraduate students, and expanding the use of ICT to teach large classes (UCTStratPlan, 2009).

Research must inform everything done at UCT, and must permeate teaching and other business components. Aspects of research that need to be improved are (a) focus, (b) level of internationalization, (c) visibility, and (d) support levels. Action plans include re-equipping all laboratories to industrial standards, bringing research into the classroom and the community.

To enhance our **graduates**, UCT needs to provide an excellent teaching and learning experience. Student retention and throughput rates need to be enhanced. Specific action steps include strengthening student support systems and encouraging and incentivising academics to "take advantage of the development opportunities" (UCTStratPlan, 2009, p. 25).

UCT's **contribution** needs to address the needs of historically disadvantaged communities, and provide graduates with the abilities to build a more inter-connected society. Action steps include helping to address problems such as climate change, violent crime, poverty, unemployment etc., and creating spaces for public debate and open lectures to promote democracy, social justice, and respect for human rights (UCTStratPlan, 2009).

4.3. CHANGE PROCESSES

One of the most widely discussed change processes at UCT is transformation, and transformation features in many documents and meetings. Transformation is the second goal of the UCT Strategic plan (UCTStratPlan, 2009), and the second strategic objective of the Quality Improvement Plan is “to accelerate and strengthen Transformation” (UNIQIP, 2009). Transforming the University has been an important goal for over 15 years, and yet UCT remains largely unchanged as Tables 11 and 12 show. Transformation has been and remains the big change process at UCT.

In the mid-1990s, University Transformation Forums (UTF) were created in which students, staff and executives could debate how to transform the institution, and the UTF guided the selection procedure for the Vice-Chancellor in 1996 (Ramphela, 2008). Transformation is an extremely emotive issue as it aims to redress the racial injustices of the past and make the university (and the country) more equitable and prosperous for all. Some have interpreted transformation as a numbers game of achieving racial quotas, while others believe it is about replacing white men with blacks (Ramphela, 2008). Whatever the interpretation, there has been resistance to fundamental change in South African universities (Ramphela, 2008) as is evidenced by the climate surveys and statistics.

The University Racism Report (referred to as the Soudien Report) revealed that many students at South African universities continue to experience racial and gender discrimination (Soudien, 2009). Reports such as the Oliver-Evans and Moran reports commissioned by UCT have contended that management practices at UCT needed to be reviewed in order to be more inclusive (Moran, 2007). Working-groups were formed to discuss these issues in 2003 and have met several times each year since

then (Moran, 2007). At the 2009 workshop, the Vice-Chancellor told HoDs that black staff leave UCT at a higher rate than white staff, and a Deputy Vice-Chancellor told the meeting that the Black staffs' descriptions of their day to day experiences at UCT were eye opening. However, no resolutions or actions were detailed (Morris, 2009), and although change is the topic of many conversations, "it seems that the circumstances have been stacked to favour 'the maintenance of the status quo'" (Moran, 2007, p. 13). The Council on Higher Education (CHE) claimed that change in higher education is unpredictable, irregular, and multi-dimensional (auf der Heyde, et al., 2007). The University appears quick to commission reports (such as Oliver-Evans, Moran, Institutional Surveys etc.) but is somewhat reticent to act on those reports. Although there is a great deal of talk about change and transformation, very little actually changes. A key finding of the Soudien report was that institutions have complied with legislation and produced transformation policies, but that "these have overwhelmingly remained paper exercises" (Pretorius & Dibetle, 2009).

"The architecture of university remuneration ensures that administration receives far higher financial rewards than the core teaching and research functions. The message embodied in this system is that management is more important and prized than the academy itself"; "The remuneration system needs to be transformed in favour of the academy. Highly prized professors should earn on a par with or even higher than senior management" (Habib, Morrow, & Bentley, 2008, p. 151). UCT started a process to link salaries to performance, which it labelled Rate for the Job (RFJ).

UCT was involved in an appraisal of its management systems through the 'Audit and Integration of Management Systems' (AIMS) project between 1999 and 2001, yet the management systems remain un-integrated and paper based (Brinckmann, 2009). Key Performance Indicator number 1.1.4 of the Quality Improvement Plan of 2009 states that the University must "conduct a review of Senate Committees with a view to streamlining them" (UNIQIP, 2009). This was also one of the stated objectives of the 2001 AIMS project. Strategy 2.1 is to "develop human rights policies, plans and monitoring mechanisms that will promote an institutional climate free of discrimination and place more

of an emphasis on early intervention” (UNIQUIP, 2009), yet in 2009, the Registrar “conceded that Black people feel marginalised at the University and therefore keep quiet even when they have grievances” (Masuku & Hollenbach, 2009, p. 13).

UCT implemented an ERP system (known as PeopleSoft by UCT, but actually Oracle Student System) to integrate and manage student information. The system was subject to many modifications prior to installation, and developments have been on-going.

4.4. CULTURE

For a proper analysis of the University’s functioning, it is vital to understand the culture in which it operates. By examining the culture, the de facto as opposed to the theoretical workings of the University will be revealed.

The diversity of cultures can present problems in that each has its own unique nuances and qualms that must be accommodated and respected, and cultural tension can sometimes run high amongst students and staff alike.

A climate survey conducted in 2006 confirmed that the majority of staff at UCT did not think that there was mutual respect between academics and PASS (Professional Administrative Support Staff). A dominant concern was the fault lines between the two categories of staff (referred to as the Academic-PASS divide) (UCT Institutional Climate Survey, 2007). Many HoDs and academics have never had face-to-face meetings with administrators with whom they interact, and inter departmental visits are not the norm. The Moran report stated that there was a lack of a “culture of cooperation” between academics and administrators, a poorly developed understanding of reciprocal responsibility, and a desire to maintain the status quo (Moran, 2007).

Informal conversations between staff occur continually but there is an atmosphere of fear, which pervades the institution as evidenced by the inaugural issue of ‘Workers Voice’, a union newsletter that proclaimed in its headline: “NEHAWU Wants to Know If You Can Speak Without Fear” (NEHAWU, 2009,

p. 1). The National Education, Health, and Allied Workers Union (NEHAWU) are affiliated to the Congress of South African Trade Unions (COSATU), the biggest federation in the country. "NEHAWU has become increasingly aware through workers at universities like UCT that the abuses of power in this supposedly enlightened space include silencing the grievances of workers through fear, deliberately interpreting and enacting policy arbitrarily, constantly moving the goalposts, never bringing culprits to boot and offering pay-offs to make 'troublemakers' disappear" (NEHAWU, 2009, p. 1). A 'troublemaker' who left UCT in July 2009 after a long and complicated process with a separation agreement was Deputy Registrar Paul Ngobeni (Masuku & Hollenbach, 2009). Other examples reported in Workers Voice were contractors Xola Ndishe and Zukisane Gophe, who were moved from UCT in 2009 (NEHAWU, 2009). NEHAWU feels UCT is aggressive and assertive, and intolerant of dissent. The Vice-Chancellor, Dr. Price, is aware of these issues as shown by the following two quotations: "I am struck by discussions with some black staff in particular, but also others, on the often negative experience of the work environment", and "the space also gets closed down by the fear that one may be labelled 'difficult' or a 'trouble maker' for raising concerns that challenge mainstream practice and culture" (Mtyala, 2009).

Managerialism also resulted in a cultural shift in South African universities as academics reduced their critical engagement, debate, and visibility on major social issues (Jansen, 2009b), and they appear afraid to question authority, and seem to remain silent in fear of society's apparent intolerance of criticism and dissent. For example, most academics largely remained silent on national issues such as the Governments' position on HIV/AIDS, the situation in Zimbabwe and poor service delivery in the 2000s (Jansen, 2009b), as well as on internal issues such as poor service delivery and fees, in spite of student protests (Joseph, 2009).

Further cultural difficulties abound due to South Africa's notorious past. In higher education in South Africa in 2010, the term 'institutional culture' has been used as an assessment of the "alienating and disempowering" experiences that black students and staff experience within a university (auf der Heyde, et al., 2007, p. 6). Many South African universities are said to have a 'white' academic culture

(auf der Heyde, et al., 2007). UCT was founded by white males for white males and so has a strong white male culture (Ramphela, 2008), indicating a high MAS score. Seventy-three percent of the senior management team are white and more than 70% of professors are white males (Dugger, 2010). These numbers are grossly misrepresentative of the South African population.

The Soudien report was commissioned by the Minister of Education in 2008 to investigate racism and sexual discrimination at South African Universities (Pretorius & Dibetle, 2009). The Minister of Higher Education stated in July 2009 that his department was planning a national conference at which racism and discriminatory practices would be discussed after the findings of the Soudien Report revealed that “racism was still rife at many of the country’s institutions” (Mahlangu, 2009, p. 1). Not only is racism common at the university, but a report which examined employment found a broad consensus that the city of Cape Town was hostile to blacks (Surtee & Hall, 2009), and suggested transformation in the Cape was “at best stalled, and perhaps in reverse” (McKune, 2009, p. 1). At the colloquium on higher education change in South Africa there was general agreement that more attention needed to be paid to transformational issues such as culture rather than structural and numeric issues (Gillard, 2004). At his inauguration, the Vice-Chancellor of UCT pledged to encourage academics and students to question and challenge ways of doing things, and to speak out fearlessly. Dr. Price stated that a university’s success “depends on a culture within the institution which is tolerant of heretical [unorthodox, dissenting] views,” and that the University’s attitude and culture had to shift “to ensure that black people and women feel at home here” (Price, 2008, p. 5).

Aside from racial and sexual discrimination at UCT, there also seems to be a type of “cronyism” or cohesive groups that prevails. Over 50% of the academics at UCT obtained their PhDs from UCT (Moran, 2007) and the (predominantly white) academic staff are reluctant to accept outsiders and have an arrogance and smugness which resents ‘critical commentary’ (Moran, 2007). In 2006, the annual academic staff turnover rate was 4.6%, and average service was 16 years (Moran, 2007). This turnover

rate is low compared to the African rate of 16% (Nwadiani & Akpotu, 2002) and this adds to the problem of recruiting diverse staff.

The staff figures in Table 12 were supplied by the UCT HR Department in April 2010; they did not provide 2010 figures. The figures show that the total number of academic staff increased by 4% over the period 2006 to 2009, PASS staff increased by 7.9% over the same period, while the number of students increased by 12%. Academic staff make up approximately 33% of UCT permanent staff, or 29% of staff if the 930+ outsourced PASS type jobs (catering, security, cleaning, maintenance etc.) are included (De Nicola & Shisana, 2010). An email from the vice-chancellor dated 10 April 2010 stated that the Council had voted to continue outsourcing currently outsourced services. The numbers of academic staff are increasing at a slower rate than students are or PASS staff, this in a country and time when more citizens need education.

As previously mentioned, white males dominate academia with almost 70% of academics being whites and over 55% being males. Among the PASS staff, most of the lower level jobs are filled by Black and Coloured staff thus skewing the figures. The 'other' group includes Indians, Asians, and people who were 'unclassified'. The number of Black academics has doubled between 2006 and 2009, but they still make up less than 12% of the total. The number of white academics has risen by 21.8% over the same period. Should the number of Black academics continue to double every 3 years, a 50/50 split could be achieved by 2016. This is, however, highly unlikely unless the prevailing culture undergoes a radical change. The percentage of Black PASS staff has risen by over 21% over the past four years, but they still make up less than 20% of the total PASS staff. Whites continue to make up around 30%. The percentage of female PASS staff members has risen slightly to just over 65%, but this is skewed in that most of the junior PASS positions are held by females.

UCT Academic Staff									
Year	Black	Coloured	Other	White	Male	Female	Total no.	% change	% of total
2006	6.01%	8.79%	26.05%	59.15%	59.48%	40.52%	2411		33.77%
2007	9.23%	9.44%	10.91%	70.41%	59.50%	40.50%	2437	-1.08%	33.38%
2008	10.25%	10.10%	8.79%	70.86%	58.66%	41.34%	2605	6.89%	33.37%
2009	11.56%	10.36%	8.55%	69.23%	55.84%	44.16%	2509	-3.69%	32.87%
UCT PASS Staff									
Year	Black	Coloured	Other	White	Male	Female	Total no.	% change	% of total
2006	15.63%	44.29%	11.28%	28.81%	36.59%	63.41%	4728		66.23%
2007	17.59%	44.44%	6.34%	31.63%	36.07%	63.93%	4860	2.80%	66.58%
2008	19.35%	45.76%	5.12%	29.78%	35.03%	64.97%	5195	6.89%	66.55%
2009	19.02%	45.72%	4.98%	30.28%	34.77%	65.23%	5105	-1.73%	66.89%

Table 12: UCT's Staff Profile (UCT HR Department)

If one remembers that blacks make up 79% of the population, and whites 9% (Lehohla, 2009), UCT with 16.5% black staff is a long way from being transformed purely in numeric terms. There also needs to be more gender equality particularly in senior positions, as the majority of females (like the majority of black people) at UCT hold junior positions.

Using Hofstede's cultural dimensions, it would appear that UCT would score highly on Power Distance (PASS Academic divide), Uncertainty Avoidance (maintain status quo), Masculinity (assertive), and low on Individualism (cohesive groups).

4.5. ORGANISATIONAL STRUCTURE

To explore the effects of organisational structure on change projects, one first needs to examine the structure. The management team at UCT is led by the Vice-Chancellor (VC), and consists of four Deputy Vice-Chancellors (DVCs), the Registrar, eight Deans (one for each faculty) and eight Executive Directors. The Executive Directors manage Properties and Services, Student Affairs, Communication and Marketing, Alumni and Development, Human Resources, University Libraries, Finance, and Information and Communication Technology. The DVCs, the Registrar, and some of the Executive Directors report to the Vice-Chancellor, the Deans and some of the Executive Directors report to the DVCs, resulting in a confusing chain of command.

Management has undergone substantial changes with many recent appointments such as the installation of Dr. Max Price as Vice-Chancellor in August 2008. Of the four Deputy Vice-Chancellors, one took office in 2008; two took office in 2009, and one in 2011. One of the Deputy Vice-Chancellors who took office in 2009 resigned in 2011, and the replacement process started in mid-year. The Human Resources Executive Director was appointed in 2011 and the Information Technology Director was appointed in 2009. Of the eight Deans, one was appointed in each of 2003, 2006 and 2008; two were appointed in 2009, one in 2010, and one in 2011. The Registrar has been at UCT since 1974. Of the executive management team of 22 people, 45% have been in their current position for less than two years. While the team is equally divided between males and females, 73% are whites and less than 10% blacks. Change in personnel inevitability creates a certain amount of transient instability and obviously, new members of staff lack the in-house experience of older members. UCT has thus had a management team, which has not reflected the social and cultural changes, whose members have frequently changed, and have under achieved in many areas.

In addition to dealing with their respective administrations, the VC, DVCs, Deans and all full professors also serve as members of Senate (over 340 members). Senate is the highest academic decision making body in the University and all major academic policy decisions are supposed to be passed by a quorum of its members at one of the quarterly sittings. Despite Senate's apparently major significance to the decision making processes of the University, attendance statistics showed that between 2003 and 2008, the average attendance of members was between 25% and 38% (UCTSenate, 2009). Senate meetings are not compulsory for members, and if there is an insufficient number to form a quorum at any given meeting, items requiring quorum approval are simply moved to the following agenda. Many senior academics view the Senate as "largely irrelevant and they see themselves as impotent recipients of 'done deals' and 'pep talks'" (Moran, 2007, p. 35). They feel that they are expected to toe the line and follow whatever the Executives have preordained. It appears Senates in other South African universities such as the University of Pretoria operate in a similar fashion, Senate "functions mainly to approve, not to challenge, debate, or overturn executive decisions" (Jansen, 2009,

p. 16). Frustration has also been expressed in that some decisions by-pass Senate by simply being tabled in a Principal's Circular (Moran, 2007). The Principal's Circular functions as an 'unconvened meeting of Senate' in which decisions which in the Registrar's opinion do not require discussion are circulated in a Principal's Circular, and if not challenged within 7 days, passed.

The complexities and fragmentation of the approximately 60 academic departments and 184 named academic and research structures often run almost as independent 'fiefdoms' with many inconsistencies and contradictions between them (Moran, 2007). The VC chairs various committees, including Senate, the Senate Executive Committee, the University Strategy Forum, the University Development Committee, the Vice-Chancellor's Management Advisory Group, the Senior Leadership Group, the Transformation Management Advisory Committee, and the Risk Management Committee. Senate alone has over 150 subcommittees. No organogram of UCT could be found, possibly because there are too many dotted and crossed lines. For example one DVC has "executive oversight for: human resources, properties and services, and development and alumni affairs", but each of these are managed by an Executive Director. Other DVCs have executive oversight of three other executive directors, but two Executive Directors (Finance and Communications) appear to report to the VC. One of the Deans (Director of Business School) reports to another Dean (Dean of Commerce). In addition, the organisational structure has several other staff having dual reporting lines, for example the Transformation Officer in the Faculty of Commerce reported to the Dean and the chair of a committee, the Finance section in the Faculty of Commerce reported to central finance and to the Dean and so on. Having no organogram is an interesting contradiction, as it is un-managerialist.

4.6. BUSINESS PROCESSES

Change has moved universities to have efficient and business-like processes to register students, run student residences, purchase equipment, and deliver lectures, as well as effective and efficient teaching and learning processes (Green, Eckel, & Hill, 1998). The Audit and Integration of Management Systems (AIMS) Project, was largely intended to reengineer the business processes at UCT. Several business processes were selected for reengineering according to the AIMS website, including purchasing, payroll, HR administration, Properties and Services Project Realisation and Reactive Maintenance. AIMS also included a leadership and development project intended to develop HoDs and senior support staff. Two problems with the project appear to have been that there was no buy in from staff, and the training was poor.

The Academic Union executive emailed all academics in April 2009 regarding the long unresolved issue of how to deal with injuries to students and staff while on campus, as UCT has no clear policies or procedures on this issue. Two postgraduate students interviewed several UCT staff and students in 2008 on business processes (Khuzwayo & Mashingaidze, 2008). Respondents were asked several questions, including how the respondents felt about the competence of UCT staff, half of them said that the staff did not seem to be competent. One respondent, a staff member said “The human actors involved had no idea, (they) just sat there, they were ill prepared, had nothing to contribute in the meeting.” Respondents said they had had trouble in finding staff, a staff member said “...there's no-one you can speak to in HR (Human Resources).” One academic related the story of how the appointment process took so long that he was forced to find a job elsewhere while waiting to hear from UCT. A PASS staff member told of how she had tried for 9 months to secure a particular resource, and then an academic stepped in and obtained it within one day. This staff member expressed anger towards UCT, used words such as ‘hate’, and ‘frustrated’. Over half of the respondents related stories of poor treatment from other staff members. Respondents felt that the way they in which they were spoken to and treated was problematic, these were interactions between staff and students, and between PASS and academic staff. Respondents also said staff members were unresponsive to their needs and that they had to

continually follow up to ensure work was completed. Over three quarters of the respondents stated that they felt worried, anxious, and fearful during any business process at UCT. Communication was raised as an issue by most respondents, and one academic stated, “There was just silence from them, there was no communication, no conversation.” More than half of the respondents related stories of ineffective or no communication between departments, one student told how she had to make four trips between two departments, as there was no communication between the departments. An academic stated that a HoD was uncommunicative and unaware of processes (Khuzwayo & Mashingaidze, 2008).

In 2010, an anonymous academic raised questions about UCT business processes at the Commerce Faculty Board Meeting (FOC, 2010). Management admitted that UCT was lagging in not having a self-service online registration processes for students, and that staff did not have adequate training in many processes.

4.7. INFORMATION TECHNOLOGY

UCT has a well-funded central ICT (ICTS - Information and Communications Technology Services) Department, and several satellite IT departments funded by faculties. ICTS has started the process of developing an IT architecture framework based on the Zachman framework (Brinckmann, 2009). The three major applications are Oracle Student System (referred to at UCT as PeopleSoft), MySAP Finance and HR, and Novell ID Vault. Having two ERPs (SAP and Oracle) not only increases costs, but also reduces flexibility and speed in responding to change (Ganly, 2010). Other applications include the Residence Management System (RMS) for student housing, Syllabus+ for scheduling timetables, and IRMA for research and innovation. Databases include MS SQL, DB2, MySQL, and Adabas (Brinckmann, 2009). Apart from using Novell’s Groupwise email system, most other desktop applications are from Microsoft. At present, UCT is dependent on many manual processes and a few key people. The IS processes are not mature as they are not repeatable, do not always produce the same results, there are no drill-down capabilities, and data integrity and consistency is questionable (Brinckmann, 2009). According to

Brinckmann (2009), UCT is in the infant stage of integration, data consolidation, and obtaining business value from ICT investments.

The ICTS Department has identified five next steps. The first step is to determine what users want, the second is to link and contribute to the university's strategy. Points 3-5 involve investigating and defining tools such as data extract transform load (ETL) tools, data warehouse and data mart technologies, and analytical and query tools (Brinckmann, 2009). The monthly executive dashboard like many others is manually compiled using Excel.

An email from the Executive of the Academics Union in April 2009 reminded academics that the UCT email system "came to a grinding halt in the beginning of February" and that the Academics Union had supported a petition to the VC. However, despite meetings and promises, fundamental and ongoing IT problems remained as at February 2010 (Collier-Reed, 2010).

4.8. INDIVIDUALS

How do individual staff influence, shape, and respond to planned changes at UCT? Heads of Department (HoDs) would be expected to play a major role in influencing, and implementing planned changes. However, the HoD position is not a sought after position at UCT; the Oliver-Evans report of 2001 stated that 70% of the then HoDs did not want the job (Moran, 2007) and according to Moran, "it is now often a subject of amusement that anyone would voluntarily accept the position as a HoD at UCT. This is an untenable situation for any academic institution" (Moran, 2007, p. 10). The main purpose of the Moran report was to address this problem. "Twenty years ago, HoDs at UCT were almost exclusively full professors and were mostly very influential people within the institution" (Moran, 2007, p. 8). In the 1980s HoDs "were palpably proud to have achieved the status of HoD and they were generally highly respected by staff and students. They were the leaders in their departments and in the University as a whole. No major academic decision, not even by the top executives, could easily succeed without the support of the senior HoDs" (Moran, 2007, p. 8). An ex Vice-Chancellor stated how in 1997-1998 HoDs were excited and participated in the strategic planning of the University (Ramphela, 2008). However, in

2008 only 57% of HoDs were full professors and their prestige and power has declined over the past decades to the point where senior academics the world over have often chosen not to take on the role (Moran, 2007).

In 2006, the UCT Senate Executive Committee appointed a task team “to review the role of academic heads of departments (HoDs) in the context of their perceived problems of administrative overload exacerbated by complicated departmental structures” (Moran, 2007, p. 2). Several key issues were highlighted, including isolation (geographical, political and academic), closely kindred staff (50% are UCT PhDs), introspective publishing habits, and reluctance to expose the institution to international scrutiny (Moran, 2007). The Moran report noted that the majority of departments are poorly supported by the University at large, and that the guaranteed method of maintaining the status quo and ensuring that nothing happens has been to ask “what about the costs?” Moran stressed that the price of procrastination, however, included the costs of lost opportunities (Moran, 2007). Moran proposed a four-part plan to improve the situation of HoDs at UCT which consisted of i) a review of academic departments by a panel of experts, ii) the identification of the strengths and weaknesses of these departments and recommendations for future changes, iii) the recommendation that the HoD selection and appointment processes be professionalised, and iv) the provision by the University of complete support for HoDs to improve the academic departments (Moran, 2007).

Since 2002, the Vice-Chancellor and other senior executives have held annual workshops to consider the problems of leadership, management and administration with academic heads of departments, however “relatively little has been done in practice to alleviate the problems” (Moran, 2007, p. 4). More positive and practical forms of leadership are required to meet these challenges, and middle management needs to be strengthened (Moran, 2007; Schofield, 1996). This was recognised in the University Quality Improvement Plan (UNIQIP) progress report in which the seventh strategic objective was “to promote staff development” (UNIQIP, 2009, p. 79). The UNIQIP report contains eight strategic objectives, each broken down into strategies, key performance indicators, milestones, accountabilities

and progress reports. In 1987, the Vice-Chancellors of Eastern and Southern Africa issued the Harare Declaration on 'Staff Development', which called for training and development of all university staff (Schofield, 1996). The need to train university administrative staff in African universities was also expressed in a UNESCO report (Tumwine, 1996). Most universities have however, not allocated adequate funding for human resource development (Lewis & McDade, 1995-96). One of the executive leadership priorities for all executives in 2010 was to attract and retain talent (Harris, 2010). Too many institutions and Human Resource Departments persist in using out of date practices to manage talent and fail to see talent management as an essential management practice (Guthridge, Komm, & Lawson, 2008).

Not only does UCT face problems from a management perspective, but there are also many cultural issues as mentioned which create difficulties and inhibit change.

4.9. ADDITIVE EFFECTS

One major additive effect on any change is finance. UCT appears well managed financially, as UCT exceeded financial expectations at the 2008 year-end, with a recurrent operating surplus of R51m (3.7% of operating income) compared to the original budgeted deficit of R25m. Total revenue for 2008 increased by 15% from 2007, while costs only rose by 12%. Staff costs accounted for 58.8% of total costs (ManagementAccounts, 2009). "Management in this culture is therefore highly successful in achieving hard targets – such as financial stability – but struggles with the soft targets – such as institutional transformation" (Jansen, 2009a, p. 17).

4.10. OUTCOMES

Thus, in sum, UCT faces numerous challenges of varying origins and gravity, ranging from ongoing racial discrimination and a separatist attitude between academics and PASS staff, to a lack of support for middle management and slow and arduous decision-making processes. Addressing these and other challenges requires dramatic changes to the current cultural ideology at UCT as well as to the University's approach to management. Endless meetings, forums, and committees convened and formed with the intention of discussing the requisite changes have proven futile in the past since they either lack the power to make a decision on the matter(s) at hand, or cannot agree on the correct course to follow. A more decisive methodology is required, which is what the developed landscape discussed later on in this thesis hopes to provide. In short, the University needs a pro-active attitude toward bringing about the much-needed changes in its people, technology, processes, and information, and in the words of Elvis Presley, "a little less conversation, a little more action please."

Chapter 5 : Analysis and Results

Data collection and analysis occurred simultaneously and were guided by the research questions, literature, and the emerging landscape (Glaser & Holton, 2004). This research process was outlined in Figure 7, and detailed in Chapter 3. The thesis was then structured and written around the core categories.

Ten categories were finally identified (Table 6). The category with the most coded lines was Individuals, followed by Change Process and Change Influences. The categories of Business Processes, Culture, Strategy, Organisational Structure, IT, Additional Effects, and Outcomes each had a substantial number of coded lines.

It was clear from the open and axial coding that the categories of Change and Individuals were important areas of concern for the respondents. The two Change categories are not surprising, as Change is core to the overall theme of the research. The high number of coded lines for the Individual category can be attributed to the extent to which the properties of this category affected each individual respondent (hence the name Individuals). The respondents had a personal interest in how Change can influence, or be influenced by issues, and in the change process.

For each of the categories properties were identified. These properties were identified in a similar manner to the categories but they were not as clear-cut as the categories. For example, as will be referred to again in this and the subsequent chapter, many of the respondents chose to tell stories of events to illustrate their points. Successive lines from these stories were often coded into different properties and even different categories demonstrating the interaction of all the categories and their properties with each other. This necessitated incorporating the relationships identified into the discussion in order to incorporate the full impact of the multifaceted discussions and stories. This resulted in the addition of a category named Additive Effects and Feedback Loops. The important role of this new category will become clear in the discussion.

Axial coding was used to build relationships between the categories and properties developed in the open coding phase (Charmaz, 2006), and the Strauss and Corbin (1990) paradigm model was used as detailed in Chapter 3. Two types of relationship conditions were established, direct causal and indirect causal. The direct causal relationships occur when one category causes (impacts, creates, brings about, gives rise to, results in, leads to, produces, generates, triggers, promotes, implements) something to happen in one of the change categories (Change Influences, Change Process, and Change Outcomes). Indirect causal relationships cause (enable, involve, permit, allow, make possible) conditions which ultimately impact through other categories on the change categories. There are numerous possibilities to formulate or devise causal links, but the criterion decided upon was that the relationships had to be derived from the data and not from the literature, and each relationship had to be supported by, at least, one respondent. For this reason, this is not an exhaustive list of the possibilities for relationships in organisations. The direct relationships have generally been discussed under the respective categories, or under the outcomes and the indirect relationships have generally been discussed in the section that addresses Additive Effects and Feedback Loops.

As the resulting landscape has ten categories and numerous relationships between these categories, there is a potential for lack of clarity. I have attempted to describe the categories and the relationships in a storyline to avoid over conceptualisation, and to enhance reading of them. Every attempt was made to ensure that the storyline was clear and supported the landscape. Further supporting this potential lack of clarity was the nature of the analysis process itself. Whilst the results are presented sequentially, the analysis process was more untidy and necessitated working from one aspect to another in an iterative fashion.

The discussion of the categories commences with the category of 'Change Influences'. These influences impact organisational change, the 'change process' and 'Strategy,' which is the next category to be discussed. There was some support for the suggestion that there is a link between strategy and the change process (Ervin44). However, there were some that contended that strategy does not always

lead to change (Euan59-60, Peigi60). Nevertheless, the discussion follows with the category of 'Change Process'. Change Outcomes is discussed after Additive Effects and Feedback Loops towards the end of this chapter.

The discussion of the Change Process category will be followed by a discussion of the interlinked categories of 'Culture' and 'Organisational Structure'. This interlinking is suggested by Walsham's (1993) concept of the cultural structure. Supporting the University's on-going operations, as well as its on-going change process are the next two categories to be discussed, those of 'Business Processes' and 'Information Technology'. The interesting category that follows is 'Individuals'. The discussion concludes by discussing the last two categories of 'Additive Effects' and 'Change Outcomes'.

5.1. CHANGE INFLUENCES

What are the *change influences* which contribute to the implementation of change at UCT? It is clear that the respondents recognised strong change influences on the university. Many commented on these influences and agreed that change is inevitable: *"We need to look at ourselves and say what we are not happy with and to change ourselves – difficult thing to do"* (Pam64), and *"If we don't change and don't move forward we will have cataclysmic events"* (Alistair46). While there is a resistance to change at all levels, there is a strong trend towards change at the higher levels and it was considered that *"The executive ... has an appetite for change and trying new things"* (Evan48).

5.1.1. Transformation

Transformation continues to be a big issue in the University due to the changes in South Africa already discussed, and one executive stated that *"The end of apartheid and de-racialisation was a large change"* (Ean4). *"The executive has transformation as centre of mind"* and transformation influences most decisions according to Evan50. Despite any Transformation initiative there is an awareness of the inequities of racialism and sexism among the population of the country which must affect the university.

5.1.2. Managerialism

The literature review discussed the increase in student numbers, the growing diversity of the student body, and an increase in student influence and participation in the running of universities (Barnett, 2005; Rinne, 2009). These factors were referred to by a number of respondents. There was a general recognition among respondents that universities are generally changing to managerialism in reaction to massification and other environmental changes. *“All University systems have moved/changed from relatively small collegial institutions to mass public institutions”* (Ean3). That there is a relationship between change influences and the culture in terms of both transformation and managerialism was noted by respondents (Alec26; Ean15, Pam122, Abi24). The influences of transformation and managerialism present a number of further implications for the categories of Change Process, Organisational Structure, Business Processes, IT, and Individuals. These will be discussed in subsequent sections, and under the section that deals with additive effects.

5.1.3. Information Technology

Another change influence referred to by the respondents is the impact of information technology (IT) and the internet on teaching and administration. There is a recognition that students' lifestyles have changed and that they have become more technologically aware and astute. It was felt by the respondents that the university needs to create more ways for students and staff to use IT to interact with each other and the university. This aspect will be discussed in more detail in the section on the category of IT, but is indicative of a clear relationship between change influences and IT (Ervin105, Euan20-21, Ervin99, Angus6, Pat82, Peigi58, Penny43). Some respondents noted that there have been developments in IT that could produce more integrated, connected, responsive, and easy to use systems for the university. Many respondents specifically commented on the need for integrated systems and the lack of progress towards this (Aidan117, Ervin97, Pat20, Peigi2, Penny47-49, Pippa102). These needs are discussed in more detail under the IT category.

For each category, a table will be presented. Each table will show the properties of the category, and three dimensions, with a neutral dimension in the middle. The properties will be assessed, and the highlighted block in the dimension will indicate the level of the assessment. It is clear that the change influences on the university environment are strong and thus the right hand dimension is highlighted for all properties of change influences in Table 13.

Properties of Change Influences	Dimensions		
Transformation	Weak	Neutral	Strong
Managerialism	Weak	Neutral	Strong
IT	Weak	Neutral	Strong

Table 13: Dimensions of the category of change influences

Respondents saw a need for Change Influences to be linked to Strategy. There was a feeling that a better understanding of the continual changes taking place in the socio-economic environment should promote fresh and more inclusive strategic plans. *“We need ideas and plans which energise everybody”* (Evan14 in discussing the role of the VC in change and the need for clearer plans and strategies). Aidan2-4 discussed how strategy and the change process overlap and *“... in some cases strategic thinking is not recognised as falling into the category of strategy.”*

5.2. STRATEGY

How does UCT generate, communicate, and implement change **strategies**? The first property of strategy examines whether there are central documents that set out the mission and plan of the organisation and whether these are aligned with the plans of the faculties and departments. The second looks at the process of setting strategy. It was noted in the literature review that some commentators contend that strategy setting is an iterative process, especially in a university environment. There was limited support for this contention from the respondents (Evan21). Generally, the respondents were equivocal about how strategy was set and how much participation there was. The last property considers the implementation of strategy and this last property links to the Change Process category which is discussed next. The assessment of the dimensions of each property of strategy is highlighted in Table 14.

Properties of Strategy	Dimensions		
Mission, strategic plan and alignment	Clear		Vague
Strategy setting process	Top down		Participative
Implementation	Well done		Poorly done

Table 14: Properties and Dimensions for the category of Strategy

5.2.1. Mission, strategic plan and alignment

Respondents did not all have a high regard for the UCT mission statement, and differed on this property. Some felt that the mission was good: *“If we plotted UCT on Gartner’s magic quadrant, our completeness of vision looks pretty good”* (Pat8). Others saw that *“strategy is being implemented, we are becoming Afropolitan, research led, and we are following our mission and strategy”* (Ami31). However, there was disagreement with some citing lack of clarity, *“University needs clarity of what its mission is – need a common mission and vision”* (Ean35), and others being quite negative about the whole aspect of the mission, *“We set a mission, but don’t say how we will achieve it, how we will evaluate it, because we don’t care as we are not going to follow it anyway”* (Andrew7). Some felt that the relevance of the mission to their own environment was not clear: *“PASS is just so far removed from the mission, don’t see any link. Mission is about Teaching and Research not Administration”* (Peigi60-61).

As stated in the literature review, the strategic plan and actions that need to be taken to achieve the plans should be clear to all organisational members. Respondents were divided on this issue. There were some in support of the clarity of the strategy and they agreed that *“For the first time UCT has a business strategy”* (Pat3) and that *“UCT strategy is fairly clear”* (Andrew1). Evan21 felt that there was no clear plan and rather that strategy tended to evolve such that *“it is now firmly embedded in our psyche as to where UCT is going, so it’s a sort of hybrid strategic development.”* Yet others felt that *“UCT does not have a proper overall strategy and has not had one for some time”* (Elsi25).

The literature refers to the need for a holistic strategy that is aligned to the strategies of the business units (Luftman, Kempaiah, & Nash, 2006). The strategies of faculties and departments do not appear to be aligned to the overall UCT strategy and that: *“with the exception of very significant strategic initiatives from the centre, Faculty strategy more or less remains at Faculty level”* (Ervin4). This

lack of alignment is attributed to the situation that *“Checks on Administrative departments are almost non-existent, so can take a different direction to strategy”* (Euan60). There was agreement that there was little alignment and that *“Strategy is a very patchy thing at UCT, developed at different levels”* (Aidan2) and that *“There is no central goal of where UCT wants to be and how all the business units interface with each other to achieve a goal”* (Paul2).

Not only was there little support for alignment of strategy but, in respect of Transformation, there was the view that despite it being part of strategy the respondents did not *“see it happening at UCT”* (Alice7). *“I know Afropolitan and Transformation are formal strategies, and I see Afropolitan now and again when I look at news, but other than that I don’t see it”* (Abi6). There are, thus, mixed views on the mission, strategic plan, and alignment. For this reason, the middle dimension of this property plan is highlighted in Table 14 although a case could be made for highlighting the vague dimension. It is of note that of the six goals of the revised UCT strategy for 2009-2013, none are directed towards business processes or IT. Apart from the AIMS project, the respondents seemed to be unaware of any strategic plans for business processes or IT. This is indicated by their comments regarding the need for business processes to support the strategy of the university (Paul17), a lack of IT planning (Ean65), poor development (Paul33), and unclear ownership of PeopleSoft (Ean60). This is discussed in more detail later.

5.2.2. Strategy setting process

Two executives, Ervin14 and Evan7 mentioned and questioned the effectiveness of the UCT Strategy Committee, a top-down approach to developing strategy. Ervin3 felt that strategy should be developed from the bottom-up and that there was the *“Intention that Faculty strategy feeds into institutional strategy.”* Another approach was that *“As to strategic development, there might be a third category (top-down, bottom-up being the first two)”* (Evan2). This third approach was defined as one that consists of *“many conversations to ensure ideas have buy-in”* (Evan13). There was support for the informal and somewhat disjointed approach to strategic development referred to in the literature review in which

“co-ordination is informal and relies on conversations and interpersonal relationships” (Euan40), and *“there are lots of meetings, conversations, and attempts to engage– so have disjointed strategic development”* (Pam5).

At the lecturer level, however, respondents did not feel that the strategic process was inclusive, and said that strategy *“is never discussed at Departmental level”* (Andrew1). There is clearly disagreement among all three groups (executives, PASS, and academics) about the degree of participation in strategy, but it seems that the process is not well handled and there was support for the view that *“Strategy is very difficult; I don’t think UCT is smart strategically”* (Angus1).

Aidan27 and Ervin4 both discussed how departments and faculty attempt to influence strategy for personal needs. Elsi27 mentioned how strategy meetings are dominated by individuals seeking to discuss operational issues. Andrew8 in discussing strategy stated that there was *“Not sufficient goal congruence between people making decisions.”*

Apart from the expressed need for participation in strategy setting, there was also comment that the strategy was not well communicated (Abi2, Aidan8). Some either did not know what the strategic plan was (Alice5) or admitted, *“If I were not in Senate I would not know what the strategy of UCT is”* (Abi2). An executive suggested that the difficulty was that there was *“a lack of conversations and that the objectives were not clear”* (Euan17). There seemed to be support for the view that *“For strategy to be meaningful must find resonance across all of UCT”* (Pam11).

The consensus of the respondents from all groups was that the strategic planning process at UCT was ineffectual, poorly communicated, lacked sufficient participation, and did not achieve a great deal. The executives felt that the *“UCT strategy committee never had much to add”* (Ervin14). For this reason, the middle dimension of this property is highlighted in Table 14.

This discussion fits well with the contention in the literature that universities tend to have ill-defined, loosely coupled goals, and that employees invest varying amounts of time and energy in the

strategic process. "Choosing a strategy means nothing if that strategy is not implemented" (Barney & Hesterly, 2006, p. 11). The next section considers the ability of the university to implement strategy.

5.2.3. Implementation of strategy

There were numerous comments on the poor implementation of strategy and that *"Most of strategy in UCT is poorly integrated, coordinated, communicated and managed, and not implemented"* (Aidan19). Euan61, Andrew4 and Prue62 all contended that there is no evidence of much effort directed to implementing or following up on strategic plans and that *"strategy is defined but not implemented"* (Aidan32).

There was comment that the structure of UCT merely allowed change to happen (Euan62), whilst there were indications that *"we don't decide on actions, on what to do"* (Elsi20). One reason offered was that *"Finances for implementing strategy are often the constraint"* (Ervin6).

Strategy is clearly not adequately followed through to implementation. For this reason, the right hand dimension of this property is highlighted in Table 14.

5.2.4. Strategy and Change

The literature contends that a clear, well documented, and communicated strategy can result in positive change by inspiring and shaping people's expectations. The respondents pointed out that there is little support for this contention, and that the lack of any impact of strategy on change is a problem in that *"we desperately need an injection of new ideas from the top of how the VC will ensure UCT makes significant strides on equity issues, otherwise in 5 years from now we will still be saying the same thing"* (Ervin44).

There are two reasons why strategy appears to have little impact on change. The first is the actions of lower level managers. Deans and Heads of Departments are reported to frequently decide if and what to implement, and to act independently. They are able to do this as the implementation of strategy is not monitored and *"Departments have a degree of autonomy and can set standards, choose staff,*

choose direction. Checks on Administrative departments are almost non-existent, so can take a different direction to strategy” (Euan59-60). The second reason is that some staff members feel that they are left out of the strategic process. As stated in the literature, strategy needs to be communicated to all staff, so that they may enact it. Administration staff members felt that this does not happen in their areas and that there is no clear link between what they do, and the strategy (Peigi60).

Strategy seems to have insufficient impact on change and this places an emphasis on the need for a well-managed change process. The change process is the next category to be discussed.

5.3. CHANGE PROCESS

How does UCT conduct and institutionalise the ***change process***? Six properties of the change process were identified as shown in Table 15. Taken together, these properties form a picture of the respondents’ view of the key factors in the change process at UCT. Although they may seem to suggest that the change process is linear and proceeds through sequential steps, the properties can influence the outcome in different ways and in different sequences. The properties reflect some of the elements of the more traditional organisational change models which have phases (Van de Ven & Poole, 1995), steps (Armenakis & Bedeian, 1999), or factors of change (Fernandez & Rainey, 2006). However, not all the steps discussed in the literature received attention by the respondents. This was due to the respondents focusing on the properties that impact on them, and not on those they felt should represent the phases or steps of the overall process of change.

This focus on elements of change rather than an overall structured process is indicative of the existence of a more flexible change process (Orlikowski, 1996; Tsoukas & Chia, 2002) running parallel to, and sometimes in conflict with the daily running of the organisation. The properties, the comments from the respondents, and the relationships identified support the view expressed in the literature review that the change process is a fluid one.

Properties of Change Process	Dimensions		
Leadership and clear shared vision	In place		Not in place
Understanding of change management	High		Low
Change actions	Successful		Unsuccessful
Change resources	Sufficient		Insufficient
Monitoring and Control	Sufficient		Insufficient
Resistance to change	Low resistance		High resistance

Table 15: Properties and Dimensions of Change Process.

It is of note that the unfavourable dimensions for all the properties (i.e. the right hand blocks) together with later comments on resistance to change and additive effects, seem to indicate a low level of potential success in any change management initiative at UCT.

5.3.1. Leadership and clear shared vision for change

The first property is leadership and a clear-shared vision for change. As discussed in the literature review, leadership and a clear-shared vision for change provides overall direction or stimulus for the change and attempts to obtain commitment. Some respondents were of the opinion that *“Leadership for achieving strategic objectives is almost totally absent at UCT”* (Aidan33). If this view is correct, there is a need for better leadership and a need for *“ideas and plans which energise everybody”* (Evan14). The importance of persuading individuals to accept the need for change is reflected by the term ‘shared’ in the title. However, it seems that there is little perceived sharing of any vision for change and it was contended, *“If you think that commitment to bringing about change is shared by all you are bound to be disillusioned”* (Prue54). An executive regarded by many as a determined action oriented person agreed that there is a need for greater clarity for a shared vision(Ean36), and that it *“needs to be shared by all, by Academic and PASS and then translated into practice – I don’t think it is shared at the moment”* (Ean37).

The above comments are a puzzle, as some of the large change initiatives such as Transformation, RFJ and AIMS had a formal nature and began with the presentation of a vision and an attempt to convince individuals of the need for the envisioned change by the Vice-Chancellor. PeopleSoft was introduced by a Deputy Vice Chancellor who chaired the project team.

Perhaps the attitude to clear-shared vision comes from a sensed lack of participation in the discussion of change. The literature review points out that the communication of a shared vision needs to be participative. Angus75 said, *“Change at UCT is very difficult, people are not consulted, and it is foisted on people.”* This was supported by Elsi56: *“Some changes are not good, not consulting enough with the university family”* and Alistair59, *“have decisions taken by individuals without consultation.”*

Another possible cause of the impression that the vision is not shared is the question of leadership. This is leadership in the sense of the champion, who leads the change initiative. That leadership is lacking was confirmed either by statements that *“Leadership for achieving strategic objectives is almost totally absent at UCT”* (Aidan33) or by expressions of a need for leadership: *“People are looking for leadership and to VC in particular”* (Ervin30) and *“Who is going to make X happen, how and when?”* (Aidan14).

It is important to have an individual who maintains momentum and commitment to change. As mentioned in the literature review, universities often do not produce natural champions. However, the respondents suggest that some of the blame for the apparent lack of leadership may lie in the resistance of individuals and, despite leadership, *“if the target refuses to be communicated with, it makes it impossible”* (Aidan92). This attitude was confirmed by Alice22 who frankly stated that she does not *“read emails from the VC.”*

One respondent makes it clear that this form of leadership is not just required from top management. The respondent drove a plan to implement transformation and not only did the plan do *“fairly well”* (Elsi5), but other faculties followed that plan. Thus at each implementation level, leadership is needed: *“Scheme lolled around for months as there was no clear accountability, no business owner”* (Euan37).

It seems that there are mainly negative feelings about a clear-shared vision and leadership in the university. For this reason, the right hand dimension has been highlighted for this property in Table 15.

5.3.2. Understanding of change management

The literature review outlines how successful change management depends on an understanding of the change management process, and argues that change managers often do not understand, ignore, overlook, or underestimate the importance of the factors for change. One of the executives echoed this when he stated that the *“key co-ordination is to make sure all role players accept and understand the change of application process”* (Euan23). Respondents confirmed that there is *“no deeper understanding”* of change management (Pippa67), that UCT does not *“understand change management”* (Angus81), and that the *“need for implementation is not clearly understood, nor is the mechanism for implementation”* (Aidan13).

It is interesting that the respondents said very little about policies and procedures for change, and what they did say, was in the form of indirect references. For example, Euan84 spoke of a policy of compulsory training before using PeopleSoft, and Aidan95 talked of a policy of instructing administrative staff to attend courses and training to implement business process changes. It seems that there is some understanding of change management in the university, although this understanding appears to be somewhat low. For this reason, the right hand dimension in Table 15 has been highlighted.

5.3.3. Change actions

UCT does not have a good record of accomplishment in terms of actioning or implementing plans, according to respondents. Why this is so is not always directly stated. Many of the reasons reflect on leadership, culture, organisational structures, skills, resources and resistance to change, most of which are discussed under other properties or categories. As Elsi17 explained: *“When it comes to implementation we buy into excuses not to implement.”* Yet implementation was seen as imperative as *“there is no delivery, no implementation; we need to give effect to ideas and plans”* (Angus102), and *“we don’t decide on actions, on what to do”* (Elsi29).

It is important to note that more than half the coded items in the category of Change relate to this property, i.e. actions. This is a reflection of how important the respondents consider implementation to

be, and of their degree of frustration with poor implementation. It is also of note that the comments on action come mainly from the executives and the PASS staff. The academics had much less to say about actions. This is perhaps because academics are not accountable for change and feel uncomfortable with the change process with the result that *"Many academics simply refuse to participate in the process, so organisational change is difficult at UCT"* (Aidan93). A possible clue to the academics' attitude to the change process is the suggestion to *"give the team authority to go and sort out issues, not to look at but to resolve"* (Angus112). Perhaps academics feel they do not have sufficient authority so are reluctant to get involved.

Also notable was the number of stories, told by respondents, of frustration with change initiatives that were less than successful. They were expressing the view that *"UCT is good at making plans, but then simply hope that somehow actions will just happen"* (Prue61). A typical ending to one of these stories is that UCT made plans, but *"thereafter nothing happened, there was no implementation"* (Euan34). A number of the respondents confirmed that they do not believe that the university is successful at implementing changes. These views are substantiated when the four changes initiatives are examined in Chapter 6. For this reason, the right hand dimension for this property in Table 15 has been highlighted.

5.3.4. Change resources

The literature review points to the importance of providing resources such as funds, administrative and technical capacity such as additional staff and training (Franken, Edwards, & Lambert, 2009). A typical complaint was that there are *"no real resources dedicated to change"* (Prue85). Some referred to specific projects such as Transformation and pointed to restraints such as *"Faculty no longer has Transformation Officer due to lack of funds"* (Elsi1). One of the key areas where resources were seen to be lacking is in dealing with massification. A situation raised was that of the issue of increased workload where *"The problem is that the workload then could be accommodated, but there has been a 144% increase in student numbers in certain areas which has made it more difficult"* (Penny29). This increase

impacts both on teaching skills, and improving teaching standards in that *“with large student numbers, and research pressure, there is not much scope or encouragement to develop teaching skills”* (Andrew105), and *“every year we say we want to improve the way we teach students but to implement this we need more staff”* (Elsi33). The respondents indicated that a lack of resources influenced specific projects, and that there are *“not enough resources in terms of money, people, tools allocated to changing things, one thinks of Transformation and Business Processes in particular”* (Prue101). The lack of training impacts on PeopleSoft, as *“few people know how PeopleSoft works at UCT”* (Paul33). For these reason, the right hand dimension for this property in Table 15 has been highlighted.

The above comments clearly show relationships between change resources and culture, business processes and IT.

Whilst the respondents suggested that more resources are needed for change, it is evident that if they were to be given resources they would need to be monitored and controlled. This is the next property of change to be discussed.

5.3.5. Monitoring and Reporting

Regular monitoring and reporting on the results of change is essential, as stated in the literature review. Despite this, a lack of monitoring or ‘follow up’ was commented on by most of the respondents. Most agreed that there is little monitoring and reporting and that there is *“no meaningful accountability for implementing some projects”* (Euan41), and that is *“no follow up”* (Andrew5, Pippa25), and that *“outcomes are never monitored or required”* (Aidan135). There appears to be little monitoring and reporting on change initiatives. For this reason, the right hand dimension for this property in Table 15 has been highlighted.

Changes are not always welcomed by the respondents and many feel that *“changes are coming too quickly and not all are good”* (Elsi60). Many of the changes have provoked strong emotions. For example, many respondents showed disillusionment and anger at the slow pace and rate of

transformation (particularly with issues of race and exclusion), inconsistencies in business processes, problems with the performance appraisals, and a range of problems with PeopleSoft. That there are strong emotions suggests that there may be resistance to change which is the next property to be discussed.

5.3.6. Resistance to change

The respondents had much to say about resistance to change, and although it is part of the change process, one could argue for resistance to change to be a separate category. Resistance to change may be manifested as a general opposition to change (uncertainty avoidance), or as a resistance to a specific change initiative, or aspects of that initiative. Respondent's comments indicate that resistance to change can arise from a number of sources, including leadership, culture, the need to retain the status quo, the protection of interests, emotions, and expectation disconfirmation. The discussion shows that all sectors of the university harbour some resistance to change. For this reason, the right hand dimension for this property in Table 15 has been highlighted.

As stated in the literature review, the process of change tends to generate uncertainty and resistance. An unbiased leader who can convey a clear understanding of the reason for and the nature of the change helps to overcome this uncertainty and resistance. Leaders who manage transition effectively help organisational members to cope with emotions by bringing them to the surface and encourage understanding of how changes affect work activities and relationships (Marks, 2007). That poor leaders can hinder change is confirmed by a comment from one respondent that the attitude of a senior person that *"no change is good change"* causes *"stickiness to change"* (Paul35). Many expressed the feeling that *"Management people at UCT are set in their ways and don't want change"* (Penny1).

The culture of an organisation can advance or retard change (De Kluyver & Pearce II, 2006; Mahadevan, 2009) and people *"need to recognise that Higher Educational Institutions and especially those with long histories tend to move slowly when it comes to introspection and change"* (Pam63). The collegial and consensus seeking culture of the university causes change to be slow and resisted and this

is shown in UCT which has *“possibly the most change adverse culture”* (Aidan84). *“The challenge for anyone who wants to change UCT is the traditional culture of UCT. ...UCT can’t have a radical shakeup and start with a clean slate, as we always need to consider UCT traditions”* (Evan34 and Evan37).

One of the causes of this cultural resistance is that *“this collegial culture has been carefully designed over the years especially to combat change”* (Aidan88). The problem with the collegial culture is that *“seeking consensus is a part of our culture which impedes change”* (Euan81). The result is that the collegial culture means, *“the end-customers (academics) are extremely change resistant and derail many change processes”* (Aidan89).

As stated in the literature review, universities generally have strong uncertainty avoidance and academics tend to defend the status quo. This defence of the status quo was the subject of a number of comments from respondents. The outcome of defending the status quo is that: *“[We] inevitably end up going back to what we had”* (Pippa109). Several respondents referred to comfort zones which result in things staying as they are (Pat11), decisions being based on the past (Evan25), and *“considerable inertia at Department level”* (Aidan28). The overall impact of the uncertainty avoidance is that *“not sure if we have the political will or desire to make it happen”* (Angus99).

Maintaining the status quo often has other motives. Managers *“are used to the status quo, power issues and knowledge issues, they are protecting themselves and other people they want to work with”* (Penny2). People are resistant to change as they strive to retain power and status (Paul5, Peigi12). Resistance to change will thus *“reflect multiple and competing constituency interests. What may have been clear and transparent for executives may be viewed differently by a constituent with different interests”* (Pam35-36). The extent of the power of a manager plays an important role in the negotiation of change, and some, such as heads of departments, are able to either support or resist change and as a consequence *“organisational change is difficult at UCT”* (Alistair54).

Resistance can arise from emotions generated by sexism, racism, or dissention between administration and academics (see the discussion under culture). The tensions in individuals can hinder organisational change (Marks, 2007). This is particularly evident in the change initiative of transformation. Several discussed the impact of feelings of fear in others (Abi49, Euan104, Prue65). Others referred to personal feelings of *"fear and apprehension"* (Alistair9) and *"very isolated and socially alone ... forced out"* (Alice56). The impact of this fear is shown in the statement that the *"reason I am so scared is that they get away with so much, one feels you have lost before you start"* (Alice61). This resistance is difficult to deal with, as *"people are scared of subtle intangible processes of victimisation such as deprivation of opportunity"* (Alistair7). Bullying often arises from organisational change (Salin, 2003). Fear of the consequences of change means that staff members *"don't like change and so will not go to briefing sessions, training and don't read emails either"* (Aidan90). This is not a short-term problem and UCT *"will have a lot more of this tension as we are more and more reflecting society in microcosm and society is fraught with issues and tensions"* (Pam37).

Another source of resistance to change is drawn from the concept of expectation disconfirmation. Expectation disconfirmation is based on an assessment of the degree of non-achievement of pre-purchase expectations against post-purchase performance of a product or service (Bhattacharjee, 2001; Liao, Chen, & Yen, 2009). Expectation disconfirmation can be treated as a measure of lack of success of a change initiative for the users. User's expectations may not have been met despite the change having been signed off as completed. Nine respondents described their high levels of frustration and anger at the poor implementation of previous projects, and it was clear that they would distrust any future initiatives and one confirmed, *"the levels of frustration are phenomenal"* (Andrew53). It is no surprise that *"Many academics simply refuse to participate in the process, so organisational change is difficult at UCT"* (Aidan96).

Despite resistance to change, projects are often driven through. Once the tipping point or critical mass is reached, any further adoption of the change becomes self-sustaining (Cook, Holley, & Andrew,

2007). As the change initiative progresses, more and more individuals move from the existing to the intended procedures, practices, processes and systems. At the tipping point, the change gains support and momentum and resistance is reduced. Despite the apparent acceptance, there is still a subtle resistance and the change is interfered with. As Aidan⁸⁶ put it: *"Academics are extremely change resistant and derail many change processes."* These interferences are described under the heading of gradual change effects in section 5.9.

Apart from strong and caring leadership, change managers can attempt to reduce resistance to change through actions such as training, pilot projects, and even rites and ceremonies. Other ways include providing resources, employing and training additional staff, facilitating the development of new processes, procedures, evaluation meetings, and obtaining feedback from individuals through attitude surveys and interviews. However, there is even a resistance to these measures, for example, *"academics feel they don't need training of any sort, therefore can't benefit from change"* (Aidan⁹¹).

Organisational change is an evolutionary process as it takes place within a historical and contemporary context, the past affects whether people are willing and able to change (Boddy, Boonstra, & Kennedy, 2005). Thus, the culture of an organisation can retard change efforts to change (De Kluyver & Pearce II, 2006; Mahadevan, 2009). From respondents' comments, it appears that UCT's culture does retard change. Pippa¹⁰⁸ summed up the resistance to change: *"We are over protective of what goes on at UCT – arrogant."* This, somewhat strong, comment introduces the next category, namely, Culture.

5.4. CULTURE

How does culture affect change processes in UCT? Culture affects the way individuals interact with their social or organisational environment, and influences their construction and understanding of their daily actions. That the culture of UCT is difficult to define is demonstrated by the comment that *"Traditional UCT is a weird and wonderful thing and it is no surprise that it can frustrate both blacks and whites"* (Evan³⁵).

Culture figured prominently in many of the respondents' remarks. It is clear that *"many have issues with culture, climate, and beliefs"* (Euan76). One of the most commented on aspects of these 'culture, climate and beliefs' are the aspects of racialism and sexism, and how these result in the exclusion of individuals. Whilst also a form of exclusion, the PASS Academic Divide reflects a conflict between administration and academic staff members, rather than the exclusion of individuals. This conflict is partly fed by the trend towards Managerialism at the expense of Collegiality which has an impact on the resentment that academics feel towards administration. The trend towards Managerialism also impacts on the perceptions of Academic Freedom, which further impacts on the resentment of academics. These properties are summarised in Table 16.

Properties of Culture	Dimensions		
Racialism and Sexism	Absent		Present
Exclusion	Absent		Present
PASS Academic Divide	Absent		Present
Managerialism vs Collegiality	Managerial		Collegial
Academic Freedom	Free		Restricted

Table 16: Properties and Dimensions of Culture

5.4.1. Racism and Sexism

As discussed in the literature review, racism and sexism is entrenched in South African universities, particularly among academic staff (Soudien, 2009). This cultural legacy derives from the dominance of white males in managerial positions. This legacy is noticeable to both blacks and females when they join the university. Despite this, it would be a shock to many of the current management to hear a comment from a black female that *"when we come into UCT, we first need to learn the cultural rules, need to be humble, subservient, sell yourself in a certain way"* (Abi87).

Whilst there have been steps to redress this situation, the perceptions and experiences of black and female university staff members are still predominantly negative, and it is not a surprise that the university has been described as chauvinistic, cold and competitive (Ismail, 2011). Of the two forms of discrimination, racism is more openly discussed due to the Transformation initiative, and there is

general acceptance that racism occurs. There is also a perception among some that both genders are treated equally but this is only *“at a superficial level”* (Abi17).

However, it is clear that the situation *“is more devious than simple racism”* (Andrew80). As will be discussed in more detail in the next chapter, there are very different perceptions of the incidence and severity of both racism and sexism at senior and junior levels, and among some of the white male managers. Criticism tends to be suppressed and it is considered that *“people in power whose mindsets are presumed to be liberal and enlightened, hence nobody can point out when they are racially or sexually biased”* (Prue44).

Stories were told by respondents of incidents of racism (Abi, Alice, Alistair, Andrew) and sexism (Abi, Elsi). These stories illustrate inconsistencies of treatment. These inconsistencies are often covered up and despite publically stated *“positive noises,”* in *“private conversations there is a different truth, some people feel alienated and not totally comfortable”* (Ervin 39-40). Another indication of the frustration with being treated as different was a reluctance to be interviewed as *“so many people want to interview me just because I am one of the few black female executives. I feel like a specimen in a tank”* (Eve2-3).

One problem is that the slights are often subtle such as the use of *“body language to intimidate and belittle people”* (Evan56). Others overcompensate for perceived discrimination and *“to ‘balance’ things out, make it difficult for one or two whites to show we are fair”* (Andrew74). There is a general air of disbelief among managers that there is racialism and *“we expect Blacks to provide forensic proof of any wrongs inflicted, don’t think anyone can explain UCT as not good, we are smug”* (Evan57). Whilst the managers and white staff may be smug, the perception is different among the blacks, and whites are seen as *“two-faced - every black person talks about this - there is a lot of mistrust between races”* (Abi93).

It is of interest that the discussion of the two elements of racism and sexism was more overtly directed to racism. One view is that black females think of themselves *“as black first and female second,”*

so feminism comes second" (Abi18). There is literature, which supports the sentiment, that race rather than feminism is the central issue many Black women face (Reddock, 2007). However, when the comments of respondents are examined, it is clear that sexism is present at UCT, even though it can sometimes be devious or subtle. Sexism can be expressed indirectly such as the reported remark of one male who wondered *"what it would be like to work with a female in the department"* (Alice18). Devious and subtle sexism is not always the case as experienced by Alice12 who was *"subjected to constant downgrading comments, constant sexist slurs, constant meetings which excluded me, and constant belittling."*

Behaviour at meetings shows bias towards males and *"females are often ignored"* and *"females come across as aggressive in order to get heard"* (Abi28 and 23). However, when females or blacks are put onto committees as a gesture to equal opportunity, they are not expected to be too vocal, and are expected to *"toe the line"* (Abi40).

There is a feeling that UCT pays *"scant attention to sexual harassment"* issues (Elsi12) and that little has been *"done on gender at UCT, perhaps people think it's sorted out"* (Abi25). Similarly, little is being achieved in terms of racism, and *"we at UCT figure we are beyond reproach ... we think we are untouchable"* (Evan55). Clearly the *"challenge is to move forward to the kind of community where exit interviews of Black, PASS and women do not year in year out report a sense of alienation"* (Evan33). From the comments, it appears that sexism and racism is still present in the university. For this reason, the right hand dimension for this property in Table 16 has been highlighted.

5.4.2. Exclusion

As indicated in the literature review, there is evidence of exclusion and bullying in universities (Ismail, 2011; Salin, 2003). Exclusion for whatever reason creates a hostile work environment and generates fear and anxiety. This section goes beyond exclusion arising from sexism and racism, and deals with aspects such as excessive criticism, victimisation, undervaluing efforts and social isolation.

Within UCT, the causes of exclusion or bullying correspond to some extent with those outlined in the literature review. There were a number of stories detailing instances of exclusion due to being outspoken, showing vulnerability or being on short-term contracts. Many of the problems occur because of lack of management training and a culture of resentment towards those who threaten power or are merely different (Euan103). Many of the stories involve people who were employed as part- or full-time contractors. The use of contractors enables departments to bypass selection committees and avoid complying with race and gender requirements, but also enables the exclusion of those staff members from benefits, promotion, etc. As with racism and sexism, there are *“subtle, intangible processes of victimisation”* (Alistair7)

The university is described as *“an unsupportive institution”* (Ervin38) and *“a fertile ground for dysfunctionality, for injustice and for abuse of colleagues”* (Prue7). That *“fear is a huge problem”* (Euan104) is evident as there were references to soul destroying experiences (Evan51), feeling undervalued (Peigi67), experiencing fear and apprehension and being told that he was a nuisance (Alistair10 and 39), having research ‘appropriated’ (Prue17-18), of phenomenal levels of frustration (Andrew53) and being so scared that it affected her health (Alice10). The latter respondent was sufficiently provoked to lodge a formal grievance *“related to bullying, I was bullied over a period of two years”* (Alice11). It is clear that *“UCT is good at victimising and harassing people”* (Prue41) and that there are *“glaring abuses of people”* (Andrew93).

Comments were received from all three groups and were generally strongly expressed. It was felt that there were too few places where people can *“air their views without fear of victimisation or intimidation”* (Alistair5), and a call for people to *“stop being quiet behind a shield of fear”* (Prue64). There were strongly held views that exclusion and bullying takes place in the university. For this reason, the right hand dimension for this property in Table 16 has been highlighted.

One particular aspect of exclusion arises from feelings of anger and resentment between academics and administrative staff. Whilst the major part of this anger and resentment is directed by academics towards the PASS staff, there is a general resentment towards administrative work as well.

5.4.3. *PASS Academic Divide*

As discussed in the review, there has been a move to managerialism in universities. One of the results of this has been a degree of resentment and antagonism between administration departments and academics (Henkel, 1997). Whilst *“academics find it difficult to be involved in admin issues”* (Alec10), administration staff members have the impression that they are *“second class”* (Pat3) and that *“any decision we make will be criticised by academics”* (Pat72).

All three groups of respondents acknowledged that there is a *“divide between PASS and Academics”* (Ean33), that it *“sometimes feels like we are fighting different battles”* (Angus56), and, despite not having personally experienced it, that *“it is there”* (Pat3).

It is clear that there is *“lots of blaming – blaming culture”* (Peigi64). There were references to a communication problem between administration and academics (Pat72), and a lack of a *“work together ethos”* (Angus56). The academics criticise administration for an excessive amount of forms, papers and emails to the extent that it is perceived as spam. Administrators respond by pointing out that academics often *“don’t read or respond to our communications”* (Pat76). The academics suggest that they have to fight administration to do their jobs (Angus57), that *“administrators rely on academics to do much of the work”* (Andrew124), and that administration do not *“understand academic processes”* (Angus19).

The administration staff members respond by saying that academics need to stop *“saying ‘useless PASS staff’ whenever anything goes wrong”* (Peigi61). They feel that *“none are more abused than non-academics, not always brilliant at what they do”* (Prue8). It does not always help that junior administration staff members feel intimidated in front of academics and are often reluctant to speak up (Abi53). When they do, *“little weight is put on it”* (Abi54). However, one area of agreement is that poorly

designed business processes can contribute to poor relationships between academics and PASS (Angus92-96 and Peigi64). One respondent touched on the sensitivity of the name PASS when she said, “after the notorious Pass laws, think how disrespectful it is to label people as PASS staff” (Prue102). It seems that the Pass Academic divide is still in place, so the right hand dimension for this property in Table 16 has been highlighted.

An aspect of the administrative – academic divide that has been reported in other countries is the divide between manager academics and academics not in management roles (Deem & Brehony, 2005). UCT does not seem to have problems with this divide despite some negative comments on manager academics. For example, Aidan131 and Alec23 both refer to “*amateur managers*” and Angus32 refers to academics not being good managers. These comments are discussed in more detail under the category Individuals and under the next property, which discusses the trend from collegial academic rule to a managerial approach.

5.4.4. *Managerialism versus Collegiality*

As discussed in the literature review, in recent years universities worldwide have moved from ‘collegial academic rule’ to a ‘managerial’ approach (du Toit, 2000; Rinne, 2009). This shift has been brought about by the changes already discussed such as massification, changes in the social profile of student groups, and the impact of information technology on teaching (du Toit, 2000). For these reasons, the collegial style of management is breaking down (Ean15).

The change to managerialism requires changes in culture as well as changes in management approaches. There is a greater use of approaches such as re-designation of HoDs as line managers (Alec50), strategic planning, and stronger financial systems necessitating an improvement in managerial competence (du Toit, 2000). The aspects of management will be discussed under the respective categories below, but the impact on the culture of the organisation is discussed in this section.

Understandably, there was relatively little comment on this property from the PASS staff. Both the academics and executive groups had more to say. There was some resistance to managerialism and what this means to academics. It was felt that the university is *“increasingly run in business terms of efficiency and effectiveness - this is alien to academics”* (Alec26) and that it is *“treating academics like factory workers”* (Angus107). That there would be resistance is *“because it’s collegial, we are taken care of, it’s comfortable”* (Penny36).

The result of these views is that the increasing managerialism affects many aspects of change in the university, and that *“a huge problem [for change] is our collegial culture”* (Aidan84). As discussed in the literature review this resistance flows from the perception is that universities are communities of scholars, and that the running of universities should be in the hands of academic leaders rather than managers. One of the academic respondents felt that academic managers are *“committed to values of teaching and research... these values are not always well understood by professional managers, who have different values”* (Alec1-3). Another was of the opinion that the collegial approach influenced the way academic departments operated and that the result was that their particular views were *“rather seldom linked to UCT objectives”* (Aidan29).

Respondents differed on whether UCT’s culture is or should be managerial or collegial, so the middle dimension of this property in Table 16 is highlighted.

The final comment of the impact of the change from a collegial culture to a managerial culture comes from Ean19, who wondered whether academic freedom is under threat from managerialism. This is discussed in more detail below.

5.4.5. Academic Freedom

In support of the comments in the literature review, there is a fear among the respondents that academic freedom is being whittled away particularly by the move to managerialism. Academics are concerned that the change in universities *“involves threats and defects to academic freedom”* (Alec13)

and this is reducing the opportunities for academics *“to be free to think, to debate”* (Angus108). This fear is not surprising, as among the current threats to academic freedom is the increasing pressure for the academic accountability associated with the measurable educational outcomes associated with quality assurance (du Toit, 2000; du Toit, 2007).

Some are practical about this change though: *“A University has got to have independent high level academic thinking free from constraints (academic freedom), but also got to run the core business of teaching effectively. I don’t believe the two are inconsistent, can and should have both”* (Andrew108-109). Ean46-48 agrees, and argued that whilst academic freedom is vital, this should not stop improvements to management and business processes. Respondents differed on whether academic freedom is restricted or not, so the middle dimension of this property in Table 16 is highlighted.

It was not a surprise that the comments on academic freedom come from the academic and executive groups and there is little comment on peculiarities of academic culture from the PASS group, although there was an interesting criticism that *“some academics think that academic freedom extends to admin freedom”* (Pippa48).

5.4.6. Culture and Change

Organisational change tends to provoke strong emotions in any setting (Marks, 2007). The factors discussed under the heading of culture contribute in different ways to create an environment in which change can be resented and resisted. These emotions will be compounded by the anger, frustration, and fear generated by the levels of sexism, racism and bullying in UCT. In addition, there is already resentment generated by the move to managerialism, and the PASS academic divide. UCT academic staff members tend to resist any changes that are perceived to support managerialism. As they value their academic freedom, and the ability to express personal opinions in a collegial culture, they resist changes that threaten this aspect of the culture. These emotions will be seen to impact strongly on all of the projects discussed in the next chapter.

UCT has an entrenched culture of older males in authority and they will tend to resist any change which threatens the status quo. Universities generally have strong uncertainty avoidance (Pat11, Penny2, Paul5, Aidan88). High uncertainty avoidance tends to result in resistance to change such as BPR (Martinsons, Davison, & Martinsons, 2009). In these situations, there is a need for strong leadership to overcome resistance to change. Leadership has not been evident in UCT and this will be seen to impact on the four change projects.

5.5. ORGANISATIONAL STRUCTURE

What are the effects of **organisational structure** on change? UCT does not have a clear published organisational structure, and works with an emerging structure. This emerging structure devolves responsibilities in a rather haphazard way with the result that UCT's "*organisational structures are screwed up*" (Pat66) leading to particular individuals having inappropriate or inconsistent reporting lines. "*Organisational structure is too diverse,*" with some people having too many people reporting to them, while others have too few (Ean67). There are even situations where heads of department "*can be outranked, and have to deal with strong personalities*" (Ervin91) in their departments. There are a number of issues, which can influence change under the category of organisational structure. These issues will be discussed under the properties of Type of Structure; Levels and Reporting Lines; Flexibility of Structure in Response to Change, and Job Descriptions.

Properties	Dimensions		
Type of structure	Collegial		Bureaucratic
Levels and Reporting Lines	Few		Multiple
Flexibility of the Structure in Response to change	Good		Poor
Job Descriptions and Changes in Roles	Clear		Vague

Table 17: Properties and Dimensions of Organisational Structure.

5.5.1. Type of structure

Despite the view that the structures of universities are often similar to Mintzberg's (1979) "Professional Bureaucracy," some respondents perceived that "*UCT is a bureaucracy,*" (Euan98), and has a "*command and control hierarchy*" (Aidan95). Another respondent picked up on the views of Henkel

(1997) and Hammond (2004) and suggested that *“the University has a feudal structure, with feudal governance where each unit is own boss, use academic freedom to maintain it”* (Peigi89). One did, however, agree that the university has similarities to the Professional Bureaucracy (Alec45).

Further to the views reported in the literature that universities are moving to corporate structures, it is interesting to note the view that *“universities are more complex and sophisticated institutions”* (Alec12). This suggests that though universities are moving to a more corporate type of structure, they will always retain certain peculiarities of structure. One of the reasons for this is the need to establish the nature of *“the relationship of students to the university, and academics to the university”* (Alec42).

There was a spread of comments on the devolved nature of the structure from all three groups of respondents. One aspect which was commented on by an Executive and two of the PASS staff was the extent to which the university departments operate as silos. The impact of this is that *“co-ordination happens by chance”* (Euan38), and that that the university is *“essentially running many organisations within organisations”* (Pam10). The reason for this *“silo mentality of the administrative systems and administrators”* is that *“departments don’t want to merge as they will lose autonomy and power”* (Paul4). The university has a mixed structure with some bureaucratic and some collegial aspects. For this reason, the middle dimension for this property in Table 17 has been highlighted. A natural consequence of this organisational structure is the number of levels in the organisation and the reporting lines.

5.5.2. Number of levels and reporting lines

UCT has many organisational levels, for example, there are 13 levels of PASS staff. This results in *“mushrooming bureaucracy with extra layer of staff, all of whom try to make their existence more meaningful by putting in more staff”* (Peigi56). This has resulted in what has been termed ‘grade creep’ where *“the number and levels of staff in various pay classes has crept upwards”* (Ervin78). There is a level of complexity in the structure which impacts negatively on the allocation of roles and responsibilities and the taking and implementation of decisions (Aidan62, Ean89, Ervin79, Pam2-3).

All three groups but particularly the executives and PASS staff commented on the number of units, the degree of autonomy given to units, and the unclear and, sometimes, illogical reporting lines. Several mentioned specific positions that had different reporting lines in their respective departments and faculties. It was felt that *“UCT is a messy organisation with many semi-autonomous units”* (Ean4) which results in the *“need to stem tide of bureaucratic growth and proliferation of administrative units”* (Peigi120). Based on the above discussion the right hand dimension for this property in Table 17 has been highlighted.

5.5.3. *Flexibility of Structure in Response to Change*

As suggested by the literature the structure at universities is becoming more open to change in response to changes in academic disciplines. This trend was noted by several respondents. Whilst it is of advantage to have some flexibility of structure, the respondents tended to view the changes in structure negatively. They noted that changes in structure *“often happen”* (Pippa110) and referred to departments closing down (Alec33, Elsi1) and amalgamating, splitting and then later re-amalgamating (Pippa110). It seems that some of this trend is blamed on managerialism and lack of funds (Elsi1), and regret was expressed that the discussion of the changes are no longer *“scholarly”* (Alec33). It appears that there is some flexibility of structure especially in the case of academic departments. However, this flexibility is not viewed that positively. For this reason, the middle dimension for this property in Table 17 has been highlighted.

5.5.4. *Job descriptions and changes in roles*

Despite the reports in the literature that the roles of both academic and administrative staff in universities need clarification (Schofield, 1996), there was little comment on this from the respondents. However, it was noted that in the university there are *“significant pockets where roles and responsibilities are not clearly allocated”* (Aidan62). However, one of the impacts of the AIMS project was the introduction of *“formal definition of roles and responsibilities”* (Aidan63).

UCT has different standards of job description and role definition for academic and PASS staff. Academics usually have poor or no job descriptions and *“as a result, the requirements of positions are differently interpreted and there are big discrepancies in same level appointments”* (Angus40). However, heads of departments usually do have a job description (Alec50). Interestingly, there was a perception that there is an ambiguity in the roles of the DVC’s (Ean70) and that as an executive one had to *“learn his (sic) job by working his (sic) way through things”* (Evan4). In contrast *“administrative staff are in a bureaucracy, have qualified competence, job descriptions, a line manager, and reporting structures”* (Alec45). These comments fit with Handy’s (1999) categories of ‘person’ and ‘role’ tribes, and there are clearly different approaches to job descriptions and roles. This could be another factor, which widens the divide between PASS staff and academics. A very interesting view is the introduction of the issue of race into roles in that *“if one is black, then objectives and role are less clear, its somehow more secure for whites”* (Abi69). There are mixed views on this property. For this reason, the middle dimension for this property in Table 17 has been highlighted.

5.5.5. Organisational structure and change

Several aspects of organisational structures can influence change. As discussed in the literature review, change is hampered by a professional bureaucracy structure and the number of levels and lack of clear reporting lines. Although it was unclear whether UCT is a professional bureaucracy or not, there was evidence that there were problems with the reporting lines and the number of levels. The literature review also notes that academics (person tribe) tend to put themselves first, whilst administrators (role tribe) find it difficult to cope with change (Handy, 1999).

Change is facilitated by linking roles and responsibilities with the required change (Marks, 2007). Clear responsibility for change is often not given at UCT (Alistair54, Pam83, Euan95). Examples of how the organisational structure influenced change include problems with the appointment of transformation officers in faculties (Ean62, Elsi1), lack of a department to monitor business processes (Alistair66), and an overlap of functions creating problems in managing and maintaining PeopleSoft

(Ean62). A change in the short course policy was not implemented for two years, as there was no clear business owner (Euan35). Pam57's view that staff member's failure to document their responsibilities and how they perform tasks before they leave a job, introduces the subject of business processes, the next category.

5.6. BUSINESS PROCESSES

How do business processes influence change? The literature review reports how many universities have improved their business processes. The first property identified by the respondents was the use of BPR and BPM in UCT. The literature review identified the three dimensions of business process success as efficiency, quality, and agility. These three dimensions relate to three of the properties of this category and received a great deal of attention from the respondents. Efficiency received a number of comments especially in respect of the amount of paperwork still being used in university processes and throughput time, whilst quality and agility had less comment. There was some discussion on the documentation of processes, and this is the last property of this category. These properties are detailed in Table 18. It is of note that there were indications of a poor understanding of business processes.

Properties	Dimensions		
Use of BPR and BPM	Extensive		Limited
Efficiency	Excellent		Poor
Quality	Excellent		Poor
Agility or readiness for Business Process Reengineering	Ready		Not ready
Process Documentation	Excellent		Poor

Table 18: Properties and Dimensions of Business Processes.

5.6.1. Use of BPR and BPM

Whilst there was extensive comment on business processes in general, Business Process Re-engineering (BPR) and Business Process Management (BPM) received little attention from the respondents. This is surprising because, as indicated in Chapter 3, the University undertook the AIMS Project and that *"the biggest focus of AIMS project was on UCT Business Processes"* (Aidan1).

One respondent did refer to a need to *“plan correctly”* and *“get buy in from all the people who are going to be involved”* and that the process is and should be *“ongoing”* (Pippa75). Another suggested that *“Business process should be designed to serve the goals of the organisation, not the other way around”* (Paul17). It is of note that both of these comments came from PASS staff and this supports the contention that the idea of BPR or BPM does not fit well with the academic culture of the university (Ean21).

As UCT has only applied BPR in limited areas with limited success (there was considerable comment about the poorness of the processes themselves) and has not embraced BPM, the ‘limited’ dimension for this property is highlighted in Table 18.

5.6.2. Efficiency

There was an expressed need for BP efficiency as UCT’s *“processes are not efficient”* (Ervin58) and that there is *“no coherence of business process to ensure that UCT runs efficiently”* (Paul1).

This lack of efficiency arises from problems with current processes, particularly the amount of paperwork and forms, and slow throughput times. A further aspect mentioned was cost. There was a significant discussion on the property of BP efficiency, mainly from the PASS staff members with more than three quarters of the coded lines coming from them. However, both the executives and the academics agreed with the PASS staff members despite the lower number of coded lines.

The amount of paperwork and forms seemed to provoke the most emotion from respondents, with references to the situation as *“almost like a Monty Python show”* (Peigi23) and *“messy”* (Alistair70). There were a number of comments on the amount of paper work and that UCT is *“awash in paper”* (Pat60), and that *“the amount of paper we have to deal with is petty and mind boggling”* (Angus54). The number of forms was considered to *“elicit frustration”* (Peigi17).

Throughput time was commented on by several respondents, and they agreed that the *“process takes so long”* (Andrew6), and that in respect of most processes *“UCT does not work fast”* (Erwin96).

A final aspect of efficiency is that of cost reduction. Some of the respondents contended that there is a *“massive staff based on forms”* (Peigi13) and that due to *“inefficiency ... replication of BPs causes massive overload and over spending”* (Ean92). There is clearly *“more we could do to reduce our paper load, but we would need to think about that carefully”* (Pippa74). This is surely a plea for better business process management. However, despite the clear potential for BPR and business process innovation to produce efficiency as discussed in the literature review, UCT has had limited success in achieving efficiency in its processes particularly at a time when student numbers are increasing. For this reason, the right hand box for this property has been highlighted in Table 18.

5.6.3. Quality

This property did not receive quite as much comment as efficiency but there were clear problems. One interesting aspect is that the PASS staff members were specific that improvement is needed whilst an academic was unsure whether *“draconian measures”* would not be *“counter productive over the top”* (Angus97). There were a number of comments about the consistency and control of the process and comments such as *“very patchy”* (Aidan67) and *“inconsistent”* (Andrew48).

There were some interesting views on why this is the case. One view reflected racism, and suggested that *“many black lecturers don't have same standards”* (Penny41). An opposing view was that the attitude is that *“most process and standards issues are somehow related to black people”* (Abi45). Other views reflected the PASS academic divide where an academic commented that that *“staff will just do menial stuff, won't get into quality or going beyond call of duty”* (Angus93). On the other hand *“academics and students submit incomplete forms, wrong forms, old forms, old data on new forms, or no form”* (Peigi63).

A further problem is the poor definition of the process and that *“typically at registration and Faculty Executive, there is confusion as to who is doing what, and there is no follow up”* (Pippa25). It appears that while there is some consistency of process, quality is generally weak, thus, the middle dimension of the property 'Quality' is highlighted in Table 18.

5.6.4. Agility

The executives were clear that the university needed a readiness to address business processes and that the university needs *“the right BPs in place which are effective, appropriate”* (Ervin74). Ean22 agreed that the *“university can’t function and prosper without effective BPs”* but added that the culture would have to change. As will be commented on in more detail in the next chapter, there are potential barriers to changing business processes. Whilst there is capability to change *“BPs without too much difficulty”* the question is, *“can one actually get the changes to take place?”* (Aidan94).

Several commented on a resistance to BPs and that, *“there is a lot of inertia with respect to BPs, partly resistance to change, partly lack of ability to deliver”* (Pat71). Reasons offered for this resistance include the contention that *“BPs... are seen as professional management and are opposed by old style collegialists”* (Ean18), and that changing business processes could result in the loss of power (Paul5). This latter reason will be discussed in more detail in the next chapter. One respondent did not think that *“there is any resistance to improving processes as such; people are just not given the opportunity to do it”* (Pippa1).

A lack of understanding of business processes is offered as a barrier to agility (Ean46) in that there are a *“large number of administrative staff who have no understanding of BPs, understanding is based solely on activities”* (Aidan122). No matter the reason, the comments confirm the lack of agility in that *“change requests all take months to get done, an extremely long process”* (Paul60). The university appears to have a low level of readiness to change. For this reason, the right hand dimension of this property was highlighted in Table 18.

5.6.5. Process Documentation

As with many of the BP properties, the comments from the PASS staff members predominate. More than half the coded lines were from them, and Academics and Executives shared the balance. Respondents indicated that the BPs at UCT are rarely documented (Euan98), and processes are not

always defined. Respondents suggest that there is *“a need for a sophisticated process in documenting things”* (Pam59), as *“nothing is documented”* (Pippa20).

In addition to documenting processes, there were several comments on finding ways to retain organisational memory. There were a number of references to individuals who have considerable knowledge of policy, implementation of policy and rules, but little of this is documented, so the collective wisdom is lost when they leave (Pippa95, Angus88, Evan26, Ervin 32). As Elsi58 commented: *“a great deal of institutional memory has been lost.”* The consensus seems to be that more can be done to document procedures. *“We are very poor at documenting things, seen this in various departments”* (Pam55). For this reason, the middle block has been highlighted for the dimension of this property in Table 18.

5.6.6. *Business processes and change*

As is clear from the properties discussed above, there is a resistance to changing business processes. Poor business processes can influence many change initiatives particularly transformation and the implementation of information systems. There was even an opinion that good business processes can change individual behaviour and attitudes in that *“if a BP is properly designed, people ... will slowly change attitudes”* (Andrew117). Once the changes to accustomed routines are well designed and implemented, people should be prevented from regressing to the old routines. The new routines also help staff members to align their work to the vision of the change (Marks, 2007). An example of this is the comment that many see the AIMS project as contributing to breaking the collegial model (Aidan18). Whilst there is agreement that BPs enable change (Ean54) it is important to get the change *“goals and targets to interface with business processes”* (Paul15).

5.7. INFORMATION TECHNOLOGY (IT)

How does UCT use *IT* to contribute to change? The IT category includes all technological components, technological infrastructure, information systems, and applications including ERPs, communications technology, and phones. Apart from direct comment on applications, particularly PeopleSoft, there was relatively little comment on this category compared to, say, Individuals. However, the properties that were identified emphasised the need for a clear plan and the integration of systems. On the performance of the applications, the properties of efficiency and effectiveness, flexibility and innovation were identified.

Globally universities have increased their dependence on IT for both teaching and administration, and this has forced staff to learn and use IT. Universities are thus seeking to use IT in a planned and integrated way to serve students, and both administration and academic staff (auf der Heyde, et al., 2007; Coaldrake & Stedman, 1999). Some of this need was reflected in the comments. For example, it was felt that UCT must take advantage of mobile phone penetration (Euan20-21) and that the university has *“to be ultra-responsive to student and staff needs”* (Ervin99). In this context, there was reference to rival South African universities using IT to send *“prospective students SMSs, emails, to keep them informed and interested”* (Angus6). There was strong support from PASS staff members (Pat82, Peigi58, Penny43) for the comment that *“there is a great deal we can do regarding registration processes”* (Ervin105).

Properties	Dimensions		
Clear plan	Yes		No
Integration	Tight		Loose
Efficiency and Effectiveness	Excellent		Poor
Flexibility and Innovation	High		Low

Table 19: Properties and Dimensions of IT.

IT is continually changing, and has the potential to create events in the organisation. Despite the potential for IT to impact on higher education (Coaldrake & Stedman, 1999), little was said about this

topic. In the past ERPs have been introduced at UCT but these are independent systems and the comments about these were largely negative, rather than constructive.

5.7.1. Clear IT plan

Universities should have a clear IT plan in place that details how the infrastructure, applications, information, and projects are to be organised at various levels in the organisation, and the plan should be aligned with, and contribute to the university's strategy (Brinckmann, 2009). If UCT has a clear IT plan, it is not apparent to respondents. It was disconcerting to hear that *"this year the project portfolio committee has not met as yet – now mid-July"* (Pat38). IT project plans had thus not been revised or updated for over 7 months. A further indication of the lack of planning is the contention that *"systems are not conceptualised clearly"* (Ean65). As already suggested by the comments under organisational structure, there is one reason for a lack of an overall plan. The structure is such that *"some Faculties run more or less autonomous ICT departments"* (Ervin98), and thus do not contribute to an overall plan. A clear comprehensive Strategic plan is needed to result in maximum benefit from IT investments and *"lots more could be done"* (Aidan119).

IT planning does not seem very important to many of the respondents, and the university seems to have a similar view. For this reason, the right hand dimension of this property was highlighted in Table 19.

5.7.2. Integration

The discussion in the literature review refers to the difficulty and complexity of achieving integration of an organisation's IT. Enterprise resource systems (ERPs) were offered as a possible solution to the problem of integration. UCT has installed two ERPs, Oracle (referred to as PeopleSoft) and SAP. Despite or because of this, UCT's IT applications are not tightly integrated and *"systems on this campus, PeopleSoft, SAP, Syllabus+, are not linked and are thus a nightmare"* (Penny45). Other respondents commented on the lack of integration (Aidan117, Pat20, Pippa102), and agreed with the contention that UCT has a *"whole lot of different systems, all stand alone"* (Peigi2).

There is some progress towards integration of email and student administration systems, however *“we now have one email system, except for GSB, who also have own student admin system”* (Pat20). That this is not enough is reflected in the comment that *“we have made a little progress, but don’t have a lean ICT support system which is responsive to our needs”* (Ervin97).

The inappropriate reporting lines for IT managers have already been referred to and the lack of integration is evidence of the impact of these. Remarkably, one academic disagreed with the general opinion and felt that the majority of the IT solutions were *“generally useful, and reasonably integrated”* (Aidan99). It is evident that he is not agreed with, and that there is sufficient evidence to conclude that there is little integration. For this reason, the right hand dimension of this property was highlighted in Table 19.

5.7.3. Effectiveness and Efficiency

All three groups of respondents commented on competence of the staff to use IT. UCT does not develop staff effectively and *“Few people know how PeopleSoft works at UCT”* (Paul39). One reason offered for this was that *“training had been given by the manager of the area who had given inadequate training”* (Aidan97). There was also evidence that *“most HoDs won’t be trained”* (Aidan111). Developing competent staff can be extremely difficult in an organisation, if staff are not trained properly, and are able to reject training.

There were generally negative views on the reliability and speed of specific systems and *“the UCT IT systems are always collapsing, IT does not work”* (Angus67). The email system was frequently criticised and described as *“a disaster, I do all my internet work at home as I have more bandwidth”* (Angus66). One executive confirmed that there had been *“a deluge of complaints”* about bandwidth at UCT (Ervin96). The degree of frustration is reflected in the comment that *“it is not a huge ask that basic things like email work and are reliable. When a system goes down regularly and we get regular apologies this is unacceptable”* (Pam71-72).

The customers of the university are students and the interface with the students received a number of comments. Some of these have been reported under business processes, such as the paperwork in processes such as registration. However, capturing to PeopleSoft is slow (Paul46), and the system is insufficiently automated. In respect of student registration system *“there are so many areas where we could and should automate”* (Ervin107). This is important to the future of the university as it should *“be ultra-responsive to student and staff needs. VC is aware of all of this”* (Ervin99). It has not been evident from the comments that the VC’s awareness has translated into action, and the question was asked: *“Are we scared to use technology or are we too conservative?”* (Peigi75).

Some staff members, however, are happy with the student learning management system (online collaboration and learning environment) known as Vula and comments range from it being *“great”* (Andrew100), to *“fantastic, constantly in awe of what it can do”* (Ervin 103).

Information integrity is defined in the literature review as the need for employees to trust the information from IT in order to operate efficiently. This is an issue at UCT, as several respondents were not satisfied with information integrity which is a *“nightmare when it does not happen correctly”* (Ervin104). Because of the lack of faith in the system, some keep *“hardcopies of everything as can’t be sure of PeopleSoft, SAP etc.”* (Penny49), and *“where PeopleSoft information differs from the paper form, then the paper form takes preference”* (Paul32).

Comments on this property come from all three groups, with PASS staff members predominating. With the exception of Vula, the general feeling is that there are problems with many aspects of IT effectiveness and efficiency. For this reason, the middle block has been highlighted for the dimension of this property in Table 19.

5.7.4. Flexibility and Innovation

Disappointingly, there was little comment from the respondents, especially academics, on innovative systems and the comments tended to address innovation in respect of existing systems. Thus, it could be said that the main focus was on flexibility.

Respondents suggested that the current systems are not lean, flexible, and responsive (Ervin97). Bar one, all the PASS staff respondents commented on UCT's IT systems, particularly PeopleSoft, being inflexible. This problem will be discussed in more detail in the next chapter. In addition, there was support from an executive for the need for information systems to be "*more flexible*" (Ervin102), although another did express the view that UCT is "*deliberately behind the pack, but may have been too cautious*" (Euan18).

Several PASS respondents pleaded for an improvement in PeopleSoft (student administration system) for dealing with online applications (Pat82), online registrations (Pam95, Paul19), change of curriculum (Paul33), and the use of e-forms (Penny43). These views could be summed up with the comment that "*ICT could be a huge benefit in the way we work and assist in finding solutions*" (Pippa101).

In contrast to the strongly expressed views of the PASS staff members, the academics' comments seem almost trite with comments on aspects such as the UCT web pages that were viewed as "*dated, rigid, and sterile*" (Andrew101). Once again, Aidan99 is a sole dissenter when he said that "*most of the IT solutions with respect to business at UCT are generally appropriate, fairly flexible, generally suitable, generally useful, and reasonably integrated.*" Not only are the university's systems not viewed as innovative and flexible, but the staff seemed not to be innovative and flexible, as they "*work like machines and don't think outside the box*" (Pippa3). For this reason, the right hand dimension of this property was highlighted in Table 19.

5.7.5. *IT and Change*

As was indicated in the literature review, a good information system has the ability to encourage innovation and change. A key aspect of this thesis is support for the contention in the literature that the consequences of a change such as the implementation of an information system are difficult to anticipate, and that new information systems fail for a number of reasons. The literature review suggests reasons such as poor communication, the complexity of the system or its context, organisational problems, poor choice of technology, and poor leadership for unexpected consequences and failure. Another reason offered is the expectation disconfirmation resulting from earlier poorly implemented projects.

Whilst these reasons are not incorrect, it will be seen from the landscape developed that the situation is far more complex than this. The latter part of the next chapter will address these reasons in more detail.

5.8. **INDIVIDUALS**

How do individuals influence, shape, and respond to change at UCT? The respondents demonstrated a strong and personal interest in how individuals can influence, or be influenced by change. This category also deals with the management of individuals by individuals. Much of the meaning of this category is expressed in the statement that *“a lot of work is done by energetic and dedicated individuals, often going beyond their responsibilities; to a large extent this is what makes UCT run”* (Ervin55). However, this category also discusses aspects that go beyond energy and dedication, and covers aspects such as conversations, committees, and story telling.

Whilst the literature review refers to information as both the formal and the informal communication of knowledge, ideas, or facts, the respondents tended to emphasise the informal aspect. Their responses focused on the term conversations but included the channels referred to in the literature review such as reports, debates, emails, meetings, casual conversations, or stories told. These responses confirmed the need in UCT for in depth conversations *“about what, where, when and how we*

get there" (Elsi31), and *"what we should be doing to get going"* (Pam96). It was conceded that *"conversations are happening"* but the qualification was that these *"are still at an early stage"* (Pam97). There were a number of comments on the lack of openness of conversations and problems within committees, particularly selection committees. These supported the contention that *"UCT is in dire need of democratic processes, so people can accept decisions and create better morale"* (Alistair3). The first two properties are, thus, open or closed conversations, and committees (Table 20). Outside of committees, there were a number of references to conversations that take forms such as chats in corridors and tearooms, informal discussions, or email. This type of conversation is discussed under the property of Stories told. It is of interest that many of the respondents chose to respond to the questions with stories of their own.

There were clear indications from a number of respondents that there is an unequal distribution of power. This unequal distribution of power, how power is achieved and used, is the subject of the next property. While power is seen to be unequally distributed, the respondents confirmed a lack of clarity and participation in decision-making, the next property to be discussed. Closely allied to Power and Decision making is the vexed problem of Budgets. The discussion of budgets covers the reasons for budgets and the centralised budgeting process. Setting budgets implies setting yardsticks as well, and this leads to accountability and performance appraisal the next two properties. HoDs and other managers come under fire in the latter property. The role of managers in universities has changed due to the change to managerialism (Gumport, 2000), and managers (the next property) need to become more professional (auf der Heyde, et al., 2007; Rinne, 2009). At the same time, administrative and academic staff members have to deal with more monitoring of standards, higher numbers of students, etc. For this, they need training and development, which leads to the last property – talent management.

Properties	Dimensions		
Open or closed conversations	Open		Closed
Committees	Effective		Ineffective
Stories told	Positive		Negative
Power	Equal		Unequal
Decision Making	Equitable		Inequitable
Budgets	Functional		Dysfunctional
Accountability	Clear		Unclear
Performance Appraisals	Excellent		Poor
Managers	Competent		Incompetent
Talent management	Yes		No

Table 20: Properties and Dimensions of Individuals.

It is clear that several of the properties for the category of Individuals overlap. For example, the property of power affects decision-making and budgets. The properties of budgets and accountability affect performance appraisals. Success in conducting performance appraisals and achieving success in being appraised depends on management ability and talent management. These overlapping properties are the outcome of the move to managerialism, and the introduction of management techniques such as strategic planning, management by objectives, performance appraisals, decentralised budgeting, fewer levels of decision-making, flatter administrative structures, executive dashboards, and outsourcing.

5.8.1. Open or closed conversations

The literature review refers to the need for equal participation in conversations, and the ability to speak without fear. There has been discussion of the level of fear generated by racism, sexism and other forms of exclusion. It was evident from comments and stories told that there is a form of exclusion, in that private conversations are often quite different to those conducted in the open (Ervin39-40). It was noted that academics tend not to put much weight on what the PASS staff members say and, as a result, they are *“afraid and unwilling to openly express views”* (Abi54). Another barrier to open conversation is the way some black and female staff members are excluded from committees particularly if they are outspoken (Abi41).

There was comment from all three groups of respondents about the need for more openness in conversations. There is recognition that *"if the process is open and transparent it's easier for all"* (Andrew60), and that there are not enough possibilities for people to *"say what they want, where they can air their views"* (Alistair5). However, it is of interest that Ervin50 pointed to the small number of people in committees who *"have energy, initiative and ideas, and who sometimes take it upon themselves to push their ideas and get support to drive them forward."*

As discussed in the review, openness of conversation is enhanced by the ability to ask questions. There was support for this view and that *"we need to ask questions and provide cogent arguments"* (Paul96). That questioning does not occur could result from the atmosphere of fear, but the bureaucratic atmosphere in administration could mean that staff members *"are comfortable, don't want to be questioned"* (Penny3). It is important to create a situation where the staff members could have open discussions without fear and where they can feel secure enough to ask questions and challenge those who are comfortable with the status quo. However, most of the respondents appear to see conversations at UCT as more closed than open. For this reason, the right hand dimension of this property was highlighted in Table 20. There is an overlap between this property and the next in that *"people definitely are afraid in meetings, and UCT runs on meetings"* (Abi47).

5.8.2. Committees

There was good participation in the discussion of this property, with the PASS staff members contributing nearly half the number of coded items. Comments ranged from the number of committees, to the ineffectiveness of committees. A major problem area is selection committees, which provoked the highest number of comments, and the most emotional responses.

Respondents agreed that UCT has poorly structured committees which result in *"too many interminably long meetings"* (Ervin48). Respondents not only complained about *"the number of committees at UCT - a huge problem"* (Paul61), but also questioned their effectiveness and efficiency as a means of communication (Ervin49). It is no surprise that some committees were considered to be *"in a*

bit of a crisis" (Evan8). The suggested solution is that *"if procedures were open, transparent, and fair we would have substantially less problems"* (Alistair58). A further complaint about committees was that *"in transformation committee and other committees, many members do not participate"* (Alistair8). Not only do they not participate, but *"most members simply vote for whatever is given, very little conversation about real issues"* (Elsi35).

Several respondents spoke about their negative experiences while serving on selection committees. One executive refers to *"two soul destroying experiences in selection committees, learnt what lengths traditional UCT will go to hire who they want. I thought it didn't happen, but it does"* (Evan49). A frequent complaint was that *"people come to selection committee meetings with a predetermined candidate in mind"* (Alistair7). There were also complaints that there was a lack of fairness and that *"some selection committees have a sliding scale of criteria"* that are applied unreasonably (Prue43). Other comments on selection committees came from Angus44-45, Elsi18-21, Pat41, Pippa42-43 and 52-54, and they shared the view that *"on umpteen selection committees, reality is different to what one would hope to see"* (Ervin35). All of these comments reveal anger and frustration and accept that there is a need *"to look at what we are going to do about it"* (Ervin36).

Apart from selection committees, there were negative comments on other committees which are accused of being *"subversive"* (Paul64) and *"surreal"* (Peigi90), with senior people dominating others through fear (Abi35). There was even criticism for Senate which *"should be a place of debate"* with the possibility of *"creative thinking and critical analysis"* (Prue71). The comments on committees are very negative, especially with regard to selection committees. For this reason, the right hand dimension of this property was highlighted in Table 20.

5.8.3. Story telling

PASS staff members dominate this property with nearly three quarters of the coded lines. Whilst this category is about how the telling of stories can create or release tension in an organisation, the

respondents themselves, on many occasions, chose to tell stories to illustrate their ideas, frustrations, or problems.

One would hope that the telling of stories in UCT would have a positive purpose, such as providing facts or inspiration, or maintaining institutional memory. However, much of the story telling revolves around transformation, and is part of unfortunate experiences with domination, exclusion, racialism, or sexism.

Some of the stories described fit the picture in the literature review of informal interactions “between individuals ... whom one meets by chance in the back regions of the organization where hierarchy does not intervene” (Lindkvist & Llewellyn, 2003, p. 254). One respondent “*was just told in the corridor that his course was not running next year*” (Alistair18). Sometimes these conversations are between line managers “*about performance of a staff member, instead of having the discussion with the staff member*” (Pam54). Staff often tell positive stories in public, “*but in private conversations I have heard a different truth*” (Ervin39).

It is clear that story telling or informal communication can be invidious or can bypass formal structures. There were several comments about the informal network of long-standing members of the university, one of which is described as “*a network of powerful cronies across UCT who believed were it not for them black people would not have been liberated*” (Prue25). Another respondent described how “*developments are initiated and guided by a myriad of sources: some of these sources may come through the formal committee structures, but many arise outside the committees*” (Ervin46-47).

One aspect of storytelling which is becoming more prevalent is the use and misuse of emails. Emails were generally felt to be a poor method of communication which can often be misread (Pippa42). Emails can be used to pass on unpleasant tasks (Alistair40) or to be a subtle way of conveying racism and sexism (Alice39).

Stories told seem to be largely a source of negative feelings and emotions. For this reason, the right hand dimension of this property was highlighted in Table 20.

5.8.4. Power

There was a lot of interest from all the respondents in the property of power, with a large number of coded items from all three groups. All three groups hold similar opinions. The first two aspects discussed are the distribution of power and how this comes about. The discussion then addresses some of negative aspects of an unequal distribution of power.

If Mintzberg's (1979) professional bureaucracy structure were applied to universities, power would supposedly be located with the Faculties. However, the literature review suggests that power in South African universities is centralised in the Registrar and other administrators, and has moved away from the faculties. There was disagreement on the power of the Deans of Faculties. Ervin⁶⁷ contended that Deans had great power and *"are more powerful than DVCs as they head up key areas of UCT,"* while Elsi³⁹ maintained that the *"executive Dean is executive in name only, has no real power."* Another view is that *"many decisions are not taken by the Faculty Boards, and in some cases not even communicated to Faculty Board (Aidan⁴⁰).* However, this apparent lack of power of Faculties has been overridden by some Deans and Deputy Deans who *"subvert formal processes, sometimes with the approval of Faculty Board (Aidan⁴¹).* In respect of budgets, the view is that, *"VC and Deans determine budget priorities and hence have a great deal of power"* (Euan⁵²).

Interestingly, there was a view that *"HoDs wield an enormous amount of power, perhaps too much power and too little accountability"* (Alistair⁵⁸). One reason for this is because *"a HoD who uses the position properly, is in a position to exercise power in particular with regards to academic direction"* (Ervin⁶⁵). It was evident that there were mixed views on who holds power and that part of the dilemma stems from the question of *"who holds the power, in theory or in practice"* (Euan⁴⁹). In the end, it seems that power depends on the character of individuals and their relationships with others (Aidan⁵²), and that *"people act to entrench their own power"* (Peigi¹⁰³).

Many of the respondents suggested that the *“real seat of power is the Registrar’s office”* (Peigi107) and that the Registrar *“has more power than the VC at UCT”* (Prue82). Whilst the power of a Registrar is not unexpected in South African universities, some of the respondents indicated that the Registrar at UCT wields too much power.

How the Registrar’s power has been achieved was the subject of speculation. One view was that the Registrar *“has power by results, by performance and longevity, not by academic credentials”* (Pat33). From the comments of the respondents, it became evident that the Registrar has achieved power through all three of Bourgeois and Nize’s (1993) legitimization modes of power influence: expertise, information, and coalitions. The expertise and information modes of the Registrar were reflected in the views that he *“is an incredible font of knowledge”* (Angus88) and that *“he knows everything”* (Prue80). The coalition mode is confirmed by *“the way [he] runs things is through committees”* (Paul68). All three modes are suggested by the comment that the *“Registrar can structure and colour reports the way he wants ... can recommend his particular slant as no one can argue against him”* (Peigi97-98).

There were references to a network of *“powerful cronies across UCT”* (Prue25). These networks underlie the use of coalitions or collective power such as committees to create *“seats of power [that] ... owe allegiance to themselves”* (Peigi108). The more allies that participants in a committee can acquire, the more they can find support for their interests and achieve their desired outcomes (Bourgeois & Nize, 1993). This is evident in UCT as, in most of the important meetings, *“there is an “inner cabinet” who are real power players”* (Pam33). This was attributed to ineffective structures which enable power to *“end up in hands of individuals”* (Aidan45).

A further aspect of power is that *“the key committees hold the power”* (Pam19). This confirms the literature, which points out that senior academics gain power through selection committees, recommendations on promotions, influence on curricula and ability to gain funding. A revealing point on the make up of important committees is that they *“tend not to have many female faces on them and few blacks, but ‘softer’ committees ... have more females and blacks”* (Abi30). This is another example of

an additive effect where power is used to subtly invoke racism and sexism, and thus entrench the status quo.

Bourgeois and Nize (1993) do not refer to personality as a legitimization factor, yet several of the respondents referred to individuals gaining power through personality (Ean64, Erwin11, Pam34), including the Registrar (Aidan57, Pam23), and heads of department where there are *“titular HoDs and powerful HoDs, depends on personalities and experience”* (Euan50).

Individual power, as with coalition power contributes to the culture of exclusion. The strong individuals that seize power are *“are not universally loved as they have the capacity to do you damage”* (Aidan51). The existence of an elite power group creates the situation where *“issues and problems that exist are very often power related”* (Andrew129).

The impact of the clear unequal distribution of power ranges from arrogance (Angus115), to uneven flow of rewards (Andrew49, Elsi44), and even to the view that *“if one didn’t get along with VC or Prof, one had no career”* (Ean12).

All of the respondents, including those in senior positions, viewed their capability and ability to make changes to be constrained by a lack of power, and stated that power was often held by someone else. Perhaps this can be somehow attributed to the authoritarian environment, in which people were brought up in South Africa, or perhaps it is because people believe in ‘gods’ (management) who will protect them and who know what the future holds and will take all the right decisions (Grant, 1986). People still relate stories of previous powerful ‘gods’ (like Suanders and Beatie) (Angus35, Euan54), who led the university and overcame obstacles, and these form an important part of the tradition of UCT.

There was a clear perception that there is inequality in the distribution of power in UCT. For this reason, the right hand dimension of this property was highlighted in Table 20. The power of individuals can influence the decision-making processes of individuals, the more important the issue, the more likely power will be used (Bourgeois & Nize, 1993). This leads to the next property, decision making.

5.8.5. Decision making

Unlike the previous property, academics dominated the discussion in this property. There were twice as many coded lines from academics than from either PASS staff members or executives despite a good number from the latter two groups. All three groups shared similar opinions. One issue that arose was the question of where or by whom decisions are and should be made. Other issues addressed problems and grievances about the decision-making process including the clarity, transparency, and consistency of decisions; the lack of participation in decisions and the slowness of decisions.

The literature review refers to Universities, as organisational anarchies where decision processes are inconsistent, ill defined, and unclear. Respondents confirmed that it is not clear where or who makes the decisions (Andrew10, Ean78, Ervin54).

The comments in the literature review on decision-making processes in universities present differing views on whether these processes are rational (Brown Jr, 2001), or inconsistent and ill-defined (Cohen, March, & Olsen, 1972; Gumport, 2000). Apart from the lack of clarity in where and by whom decisions are made, *“it is unclear who is in final authority, so what happens is that most decisions are made by threat or consensus, and one gets unclear decisions”* (Ean82). Adding to the view that decision making processes in universities are ill defined is the view that, in many areas, decisions *“are complex and not always as well documented as they could be”* (Euan43).

There were a number of comments that decision-making is inconsistent (Angus21, Aidan33, Alistair1, Elsi43, Pat12), and that *“decision making is not clear and transparent”* (Alice25). An opposing view is that *“on paper there is a considerable degree of transparency re decision making”* (Ervin64). An explanation of this opposing view is that *“UCT reflects multiple and competing constituency interests. What may have been clear and transparent for executives may be viewed differently by a constituent with different interests”* (Pat36). As will be discussed in the next chapter, when decisions are made in respect of Transformation, the needs of senior and lower level staff members and the competing constituency interests of blacks and females are not always taken into account.

There were also complaints about the lack of consultation and empowerment in decision-making (Alistair21, Andrew36, Pat50, Pippa10). It was felt that *"Deans and DVCs tend to take decisions for departments without understanding the departmental ethos and discipline, for example on staffing issues"* (Angus37). A possible reason for this is the loss of collegiality in decisions where *"debates were more scholarly [and]... decisions were made on scholarly criteria"* (Alec33). This illustrates another additive effect, where resistance to change is generated by the perception of a move to managerialism in decision-making.

A final set of comments refer to the astonishing slow pace of decision making at UCT (Ervin56, Pat14). As a result decision-making *"could take months"* (Ean82) because *"getting consensus slows things down"* (Euan79). This situation was confirmed by Jansen (2009a, p.16) who referred to the slowness of decision making in universities as resulting from the *"hierarchical system because nobody is trusted to make a final decision at any level without the whole system knowing about it."* In addition, as discussed in the literature review, senior administrators often feel that they need feedback that is more detailed before making decisions.

Another cause of the inconsistent and slow decision-making is that the culture does not lend itself to decision-making. Not only is there a *"big fear of making decisions"* (Pam48), but *"the comfort zone of 'our UCT' works this way, decisions are based on our past"* (Evan25). This latter comment confirmed, *"some reasons for nature and pace of decision making come from collegiality"* (Ervin57). Another influence from the culture is the PASS academic divide which was reflected in the comment that *"a lot of academics think they know better and are able to make better decisions than admin specialists, which is not true"* (Pat26).

Respondents were unclear about where and by whom decisions are made, felt that decision making is not clear, transparent or consistent, were unhappy about the lack of consultation and empowerment, and felt that decision making is slow and influenced by the culture. For this reason, the right hand dimension of this property was highlighted in Table 20.

5.8.6. Budgets

As with the previous property, comment on this property was dominated by the academics. However, there was less comment on this property than the previous two.

The literature review discussed how universities face budget constraints and pressures to be more efficient. This was confirmed by the statement that the *"number of students one can take on is limited by plant and infrastructure"* (Ean93). Almost any action an individual manager wishes to take has a financial implication, so control over how budgets are determined and used, constrains or liberates the ability of individuals (managers and staff) to teach, research, manage or administer. The first aspect of this constraint was the use of budgets to obtain a share of limited resources. There were comments that there are a number of limitations in resources and that *"some staff are teaching too many hours, yet we want this to be a research university, we need additional lecturers but there is no money"* (Elsi37).

The literature review suggests that there is a trend in universities to not imposing centralised budgets, and to devolving budgets, usually to departments. This does not seem to be the case in UCT as *"decisions about budgets are taken at the top"* (Elsi38). Others confirmed that faculties *"don't have complete devolution of financial power"* (Ervin68) and have *"very little power, especially with regards to budgets"* (Elsi32). A further comment from an executive reveals some caution against hasty devolvment: *"When one has incomplete devolution (or not fully thought through) one gets a massive increase in costs"* (Ean88). Yet even with centralised budgeting, there was criticism of Senate: *"When it comes to discussions on the budget, most members simply vote for whatever is given, very little conversation about real issues"* (Elsi35).

While the executives agree that centralised budgeting is in place and even seemed to support this, there were indications of some unhappiness from others who felt that *"we don't know how decisions are made to spend large sums of money"* (Pat31), and that we do not have a *"proper budgeting and planning process"* (Paul11). There were several complaints, as will be seen in the next chapter, that lack of budgeted funds has had a negative impact on the projects.

It is clear that there are problems with the budgeting process and *“every year there are problems with the budget”* (Angus25). For this reason, the right hand dimension of this property was highlighted in Table 20.

5.8.7. Accountability

As with the previous two properties, academics dominated this property with just over half of the coded lines. The PASS staff members made a good contribution and although the executives said relatively little on this property, what they did say was clear and relevant.

Surprisingly, the respondents did not attack the need for accountability, despite the move to managerialism, and the perception that this was an attempt to control academics. There was, however, considerable comment on the rate-for-job (RFJ) performance appraisal system, and argument that there is no accountability or that accountability is poorly defined. There was an acceptance that *“in general, staff would love to be hard workers, generally would like to be more involved, to take responsibility and accountability”* (Pippa37). This fits with the respondents’ argument that more devolution of budgets is required.

There were opposing views about whether there was accountability. One felt that *“managers are not accountable”* (Pippa28), whilst another felt that *“UCT attempts to be clear about roles and accountabilities, particularly at a senior level”* (Pam38). One executive suggested, *“there are written roles and accountabilities for most people, but the process of holding people accountable is not always there”* (Euan63), whilst another felt that there is *“fuzziness over accountability”* to the extent that the *“organisation is dysfunctional”* (Ean76). One of the few comments from academics apart from complaints about the RFJ was that the *“way academic departments do business tends to reflect academics and their particular views, and is rather seldom linked to UCT objectives”* (Aidan25). There was evidence that accountability is not clear, but there was some disagreement about this. For this reason, the middle dimension of this property was highlighted in Table 20.

5.8.8. Performance appraisals

This property provoked strong emotions from all three groups. The PASS staff members contributed over half the coded lines, but there were forceful contributions from the other two groups as well. Nearly all the respondents expressed strong negative feelings about the performance appraisal process at UCT.

An academic stated that the *“Performance appraisal exercise is riddled with problems”* (Angus39) and they *“caused so much anger and resentment”* (Angus65). Administrators agreed that: *“Performance appraisal is a farce”* (Peigi32), and that performance appraisals are *“the most de-motivating process at UCT”* (Paul104). Two aspects were objected to in the performance appraisal system. The first was the lack of clear, measurable, and linked objectives, and the second was the process or way the appraisals were conducted.

Many respondents agreed that objectives are not clear, measurable, or linked (Aidan68, Andrew39, Angus46, and Pam45). It is clear that the problem extends to both academic and PASS staff members. Pam51-52 summarised the problem: *“A fault in our performance management system is that objectives are not measurable, we don’t have a culture of actual measurement. If you can’t measure it, it means nothing. Often performance management sessions are just feely feely sort of sessions”*.

The performance appraisal process was derided by PASS, academics and executives. *“Let’s simply put a number on a form, rather than setting out actual objectives, and doing a good performance appraisal. Dichotomy – what we are actually doing and what we put on the forms. Question how much it reflects the true picture”* (Peigi35-36). Andrew50 suggests that the process *“is smoke and mirrors.”* It is important to note that the appraisal is used to decide increases (through the RFJ), although in an apparently arbitrary way. Ean100 comments that: *“RFJ- Must recognise that one size does not fit all,”* while Elsi44 added that UCT uses *“RFJ as a stick to punish people”*.

All agreed that the process is flawed. For these reasons, the right hand dimension of this property was highlighted in Table 20. Part of the anger about the performance appraisal is directed at the way the managers conduct the appraisal. The feeling is that this is due to their lack of training. This leads to the next section.

5.8.9. Managers

Nearly every respondent commented on this property and there were valuable contributions from all three groups who showed a high level of agreement.

It is important, especially with the move to managerialism, to train and develop university managers in all aspects of management (Moran, 2007; Schofield, 1996). Respondents stated that UCT does not insist on, or develop managerial skills, and one respondent referred to the university having *"a flotilla of amateur managers"* (Aidan75). Respondents agreed that *"management is not coping or does not have the skills"* (Pippa27), and that that *"perhaps we have too few role models for good managers at UCT"* (Pat54). There were signs of the PASS academic divide with a suggestion that administrative managers *"don't understand effective management processes"* (Angus18). Whilst there is clearly a problem with managers it is important to first put this problem into context.

The respondents noticed the trend to managerialism documented in the literature review and, consequently, stated that there is a need to develop managerial skills in universities. There were clear views that professors and academics *"can't manage people"* (Pippa29, Angus32), and that there is an incorrect assumption that *"if a person has a PhD or is a HoD they are qualified to lead and manage people"* (Andrew33). The problem described by Alec17 as *"the paradox of Professors as managers"* is put down to the attitude that they have never been trained to manage people, even though UCT seems to think that they can (Pippa29).

All three groups commented on the lack of management training and two (Evan1 and Pat55), even noted that they themselves had never received such training despite long years in the university. The

university was seen to have always *“relied on people just figuring it out ... when they get into the position”* (Ervin93). It was considered ironic that *“UCT teaches the world how to manage, but we don’t teach ourselves”* (Pat56). There was consensus that *“there is more that can be done”* (Ervin90), and that, apart from management training, there is a need for mentorship (Ervin91), role models (Pat54) and induction (Andrew82, Ervin90).

An interesting point arising from insufficient development and training of managers was raised by several respondents. This is that managers suffer a high level of frustration and anxiety. Whilst it has been found that there are high levels of stress in UK universities, especially amongst academics (Tytherleigh, Webb, Cooper, & Ricketts, 2005), nothing was found in the literature to address stress among university managers. The view was that *“HoDs, Deputy-deans etc., feel obligated, but [experience a] sense of hopelessness and despair”* (Ean96). There is a reluctance to stand again *“once people have done a term in an office”* (Andrew37), and many academics do not *“want to get involved in leadership/management positions”* (Angus34, Ean97). This is a difficult position as it was seen to be important to avoid professional managers which would *“end up where University leadership is no longer in hands of people who can be trusted in terms of teaching and research”* (Alec25).

Not only are managers lacking in skills, they are untrained and have to learn by experience. However, the high levels of stress indicate valiant attempts to deal with the situation. For this reason, the middle dimension of this property was highlighted in Table 20.

5.8.10. Talent management

This property is a natural development from the previous property. Here the focus is on staff other than managers. Most of the respondents commented on this property with slightly less comment from the academics, which is understandable. As noted in the literature review, despite the need to retain, develop, and motivate staff members, few universities consider the need to introduce talent management. A series of comments touched on how poor UCT is at tapping into the skills of people, at talent management, and at maximising the skills and experience of its staff (Angus69-72). It appears that

talent management is not seen as a strategic priority at UCT and that there is *“no career development, no growing people”* (Pat42). Executives too, had negative comments on how individuals were developed at UCT, and considered that there is insufficient emphasis on staff development (Ervin83, Euan82).

Respondents agreed that one aspect that particularly needs effort is training, as there are *“lots of people at UCT who have substandard skills”* (Euan94), and insufficient *“training of PASS staff”* (Penny56), where *“training would make a huge difference”* (Pippa38). One PASS staff member seemed to disagree to some extent and contended, *“we have a number of staff with good skills and expertise, but have some problems”* (Pam80).

A key issue with talent management was raised by Ervin87-88. He referred to a situation where administrative staff members outgrow their jobs and desire promotion. As there do not seem to be any succession plans (Alistair20), *“many people hit a brick wall as can’t see how to move forward”* (Alistair30). The usual way to deal with this situation is to apply for a position in another department, but this causes tension. It seems that the university is *“not flexible enough”* in managing the talent, especially among administrative staff (Ervin87). Understandably, this results in high administrative staff turnover (Angus86), and demotivation (Pippa94). It appears that little is being done to develop the talent of administrative staff, and there was no mention of any development of academic staff. For this reason, the right hand dimension of this property was highlighted in Table 20.

5.8.11. Individuals and Change

There were many indications that conversations or a lack of conversations can obstruct change. *“The future of an organization is perpetually constructed in the conversational exchanges of its members,”* but these conversations need to be open and energetic to have the *“potential for transformation”* (Stacey, 2001, p181). As discussed in the section on leadership and a clear shared vision, more consultation on changes is needed (Elsi56), and lack of communication makes change difficult if not impossible (Aidan92). For example, in respect of changes attempted in a faculty, problems

arose with communication because there was *“a lack of conversations and the objectives were not clear”* (Euan17). Change can be resisted by ignoring emails (Aidan93, Alice22).

One aspect of conversations that generated a lot of comment was committees. Marks (2007) stresses that conversations such as meetings, need to be carefully facilitated or they will not be helpful to change. A number of respondents commented on the negative impact of committees on change. They agreed in many ways with the comments that *“the more committees there are, the more difficult it is to implement change”* (Peigi92), and that *“organisational change is difficult and we need to do it with co-operation”* (Pam86).

There was considerable comment on selection committees. These comments were mainly about how selection committees continue to disregard the strategy and policy of transformation, and persist in hiring whites over blacks. Selection and promotion committees are generally dominated by tenured faculty members and this limits their openness (Hammond, 2004). This is an interesting example of an additive effect. These effects will be discussed in more detail in a later section but it is clear that the culture of exclusion and fear and power, as well as lack of openness all combine through committees to hamper change.

Literature on organisational change recommends that employees should be enabled to talk through their experiences as a result of changes, and to seek consensus about the change (Denning, 2010b; Marks, 2007). Weakening the forces against desired change requires conversations in many forms from formal meetings, newsletters, web pages, and emails to casual conversations (Marks, 2007). In discussing a planned project an executive stressed that the *“key co-ordination is to make sure all role players accept and understand the change of application process”* (Euan23).

The Khuluma workshops are an example of conversations designed to encourage change. Khuluma was a voluntary transformation workshop for all staff that aimed at opening people to more inclusive attitudes and behaviours. Evan44 explained how conversations at the Khuluma workshops moved

people, and made them question themselves. Conversations have “transformative potential” when they challenge and stimulate thought (Stacey, 2001, p.182).

Conversations are clearly important to the change process. As Prue64 said: *“Only time significant change happens is when people raise their voices as one, when people stop being quiet behind a shield of fear and lack of knowledge and insight.”* This view is confirmed by Denning (2010b, p.5): “One person starts talking to and inspiring other people who in turn have the courage, determination, and communication skills to incite fresh groups of people to imagine and implement a different future. In turn, they become champions and inspire others.”

Respondents felt that their capability and ability to make changes to be constrained by a lack of power. They also considered that power held by individuals such as the Registrar can hinder change (Paul80, Prue76).

Some budget constraints specific to the projects are discussed in the next chapter, but it was generally felt that there was insufficient allocation of resources to change (Elsi37, Prue84). Providing resources such as time and money is one of the key factors for success when implementing change within an organisation (Harding & Pooley, 2007).

There were a number of comments on the relationship between accountability and change. It was felt that accountability would enforce change *“by making people responsible”* (Paul6), and by ensuring that change objectives be incorporated in the appraisals of senior staff members (Elsi23). In change management, it is critical that the lines of authority and responsibility are clearly defined and transparent to all (De Kluyver & Pearce II, 2006; Denning, 2005). Despite this, there is *“no formal schedule of devolved authority at UCT,”* and *“no meaningful accountability for implementing some projects,”* which resulted in co-ordination happening by chance (Ean80, Euan41). As there was no clear accountability or business owner, a *“scheme lolled around for months”* (Euan37). Lack of accountability

has a relationship to leadership, in that few will take on the role of leader, and this is evident in some of the projects discussed in the next chapter.

Lack of management skills and the negative attitudes of HoDs can reduce the possibility to introduce change. Management who are open to others are more likely to change their own ideas and the system (Mowles, Stacey, & Griffin, 2008). HoDs are important participants in the implementation of change (Ervin5), yet HoDs lack skills (Aidan3 and Andrew33), have insufficient accountability (Alistair58), and often experience a feeling of hopelessness (Ean96).

An interesting view is that insufficient emphasis on staff development *“impedes change”* (Euan82). One explanation for this is that *“we are not providing an opportunity for our staff to grow ... Its becoming harder and harder to get the right people in the right jobs”* (Pat44-45). This is a factor in obstructing the progress towards Transformation.

5.9. ADDITIVE AND GRADUAL CHANGE EFFECTS AND FEEDBACK LOOPS

How do small *incremental changes* affect a managed change project? The discussion will first address additive effects and then confirm the feedback effects that have become apparent throughout this discussion. Finally, the gradual change effects will be discussed. These have a direct impact on outcomes which is the final section to be discussed.

5.9.1. Additive effects

The concept of additive effects was derived from Fernandez and Rainey's (2006) discussion of change management. They argued that the change process is not a simple linear progression, and that the factors can each contribute positively or negatively to the implementation of change by adding to the effects of other factors.

The concept was developed into a category because of the indirect causal relationships that were identified in the axial coding phase. During axial coding, relationships were noted to work in conjunction with each other to impact ultimately on the change process and change outcomes. This is one of the key

causes of unintended consequences. Some additive effects have been discussed, and more will be identified and discussed below. It is in the nature of additive effects that there can never be a comprehensive list as each project produces its own.

As mentioned above, many of the respondents tended to tell stories rather than make clear-cut comments about a specific aspect of organisational change. These stories are excellent examples of additive effects. For example, Alistair1-6 commented on the lack of clarity, transparency and consistency in decision making processes (Individuals); how this can be attributed to lack of democracy (Culture – Collegiality) and openness and the inability of people in formal meetings (Individuals - Conversations) to have their say without victimisation or intimidation (Culture – Exclusion). Alistair went on for a further 16 coded lines to show that he, himself is unhappy. The key point Alistair made is that situations similar to those he described result in poor morale and resistance to change.

The exclusion resulting from sexism and racism, and the pass academic divide is increased by the use of private conversations to say what cannot be said in the open (Ervin39-40), and by the lack of openness in committees (Prue9). Conversations are essential for the survival of each individual; conversations create one's identity, so any exclusion is very threatening (Stacey, 2001). The resultant expectation disconfirmation must negatively influence change.

The creation of business units created a devolved organisation structure which influenced strategy and change. These business units tended not to *"focus on what had to be done, created silos which look at what Business Unit wants, not what UCT wants"* (Peigi84). In a devolved organisation, business units may determine their own strategy provided they are within the broader strategic context of the organisation (Barney & Hesterly, 2006). However, *"for strategy to be meaningful must find resonance across all of UCT"* (Pam11). The organisational structure has thus created conditions that make it difficult for management to enact strategy, as each department has been allowed certain autonomy (Euan59-60, Ean86).

Decision-making's additive impact on change is demonstrated by the lack of clarity, transparency, and consistency provoking poor morale and, finally, a resistance to change (Alistair3). Lack of participation in decision-making, means that *"change at UCT is very difficult, people are not consulted, and it is foisted on people"* (Angus75).

Adding the additive aspect of making decisions within the forum of committees increases the impact on change. It seems that there are far too many committees, and that they are *"a way of devolving decision-making and of never making decisions"* (Penny19), and that *"many decisions get squashed in UCT committees"* (Paul95). It is clear that there is a relationship between conversations (committees) and individuals (power) through decision making to impact negatively on change.

The organisational structure together with the power of individuals has resulted in confusion, and difficulties in decision-making and finally influencing change. It is often *"unclear who is in final authority"* (Ean81), and the decision-making processes are unclear, as *"UCT reflects multiple and competing constituency interests"* (Pam35). People who are committed to retaining power and control will follow policies and procedures that are in their own interests, rather than those of the larger organisation (Noguchi & Edwards, 2008).

Interestingly, IT was shown to have several additive effects. IT can stimulate conversations by allowing individuals to create and share information using applications such as blogs, wikis, podcasting, text messaging, and social networking (Grant, Hackney, & Edgar, 2010). However, it was reported that emails are often ignored (Aidan93, Alice22), and that emails are used to convey unpleasant decisions (Alistair40). In addition, a blog at the business school added to racism *"with lots of racist comments"* (Prue97).

Another way of bypassing the decision making process is the Principals Circular (PC) which *"is a sneaky way of sliding things through which you don't want others to know about such as changes to approval processes"* (Paul75). The PC is a circular which purports to confirm decisions made at

“unconvened meetings of senate” (Paul77). If nobody objects, the decision is deemed to stand. However, few have time to read them all, few ever object, and thus it is seen as a *“devious tool”* (Peigi95). The PC has become a source of the Registrar’s power and a further barrier to effective change.

5.9.2. Gradual change effects

Incremental change can and does take place in an iterative manner even during a managed change process. Some of the gradual effects that could take place during the implementation process are suggested by the five types of gradual change effects adapted from Streek and Thelen (2005) as listed in Table 2 in the literature review.

As will be seen, the PeopleSoft project has demonstrated displacement and layering. These are reflected in the difficulties experienced because of the dysfunctional assimilation of prior business processes in order to reinforce power. As will be discussed in the next section, some processes such as providing transcripts, have not been facilitated by the implementation of PeopleSoft, and still take considerable time due to localised demonstrations of power.

Selection committees are another example of assimilation of deviant practices (displacement) and entrenchment of existing practices (drift). An example of exhaustion can be referred to as the propensity of people within UCT to indulge in conversations about conversations. These have been referred to as *“self-defeating conversations”* which *“reinforce our own comfort zone”* (Pam100). Stacey (2009) warns about, “repetitive forms of conversation which are unproblematically taken to be the truth” (p. 34). This is clearly taking place in UCT.

More gradual change effects will be discussed in the next chapter. These effects took place as the individuals tried to make sense of the changes, and how these changes influenced their roles. This sense making processes was coloured by emotions, expectations and the need to gain or retain power and personal reward.

5.9.3. *Feedback loops*

Hempel and Martinson's (2009) model of change (Figure 4) adds two feedback loops to a traditional model of change. These suggest feedback between the factors that provide the initial stimulus for the change and outcomes and between the change objectives, the change process, and the enacted system. The relationships identified in the axial coding phase showed that feedback is closely related to additive effects and takes place in a number of ways as discussed below.

The first feedback loop identified is from the category of resistance to change to the change process property of leadership. The intention of the feedback loop is to enable leadership to respond to resistance, as well as to additive and gradual change effects. If there is no leadership, resistance to change is not overcome, the additive and gradual change effects are not catered for, and this could result in a failed project or a distorted result. In addition to a feedback loop from resistance to change to outcomes hinted at in previous sentence, there is a feedback loop from outcomes to resistance to change in the form of expectation disconfirmation. Poor results from one project can create negative emotions and attitudes. This then feeds back into resistance to change.

Apart from the feedback from outcomes to leadership, there are occasions where the feedback needs to be to the category of strategy so that new strategic goals can be set. The feedback loops are not always managed in UCT, as is evidenced in the next chapter. The view taken in this research is that a fluid situation can develop during a change project due to the feedback loops, additive effects, and gradual change effects. This is an important element of the landscape which will be outlined.

5.10. *OUTCOMES*

As discussed in the literature review, the true measurement of the success of a change initiative depends on the outcomes. **What are** the effects of the **outcomes** of a planned change? The project may be signed off because critical mass or the tipping point has been reached. However, it may also be that many of the 'users' do not accept that the outcome is useful, meaningful or of significance to their requirements.

Four main change initiatives were raised and discussed by respondents. Transformation was the most frequently mentioned change, being the initiative to address inequities in terms of race, gender, and class. The rate-for-job (RFJ) initiative which links pay to performance was raised by many respondents. A project to Audit and Integrate Management Systems (AIMS) was started, and the initiative continues to feature in UCTs strategic (UCTStratPlan, 2009) and Quality Improvement Plans (UNIQUEIP, 2009). The fourth most frequently raised change was the introduction of the PeopleSoft ERP, which was introduced to integrate and improve student information. These four change initiatives will feature in the discussion of the landscape in the next chapter.

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Chapter 6 : The Landscape and its Implications

Part of the research aim was to develop a landscape which highlighted key aspects in managing change. The first section of this chapter discusses the landscape developed. Section two demonstrates the use of the landscape by applying the landscape to the four change projects raised by respondents which were implemented in UCT, namely, **Transformation**, **RFJ**, **AIMS** and **PeopleSoft**. Implications for IS are discussed in the final section.

6.1. CHANGE LANDSCAPE

The discussion has reached a stage where a landscape can be developed. This research is attempting to develop a Context-Bound model, which disputes and argues about meanings in an organisation and attempts to explore the relationships between phenomena (Llewelyn, 2003). This proposed change landscape is illustrated in Figure 9, with Individuals as the key category. The Individuals in the centre of the landscape connect to all other aspects in the figure, but these connections are not shown to aid readability.

Drawing on Mowles, Stacey, and Griffin (2008, p. 12) the Landscape can be described in general terms as follows. The change process is not rational, linear or predictable but is based on a web of individual interactions based on conversations, power, decisions, accountabilities, resources, and skills. Small changes happen “naturally, incrementally, and inexorably” because of the involvement and actions of individuals (Tsoukas & Chia, 2002, p. 580) and resistance to change. Innumerable possibilities for unpredictable and unexplained outcomes exist. These can occur despite a clear and logical strategy, **a clear vision for change and leadership** and a well-managed change process.

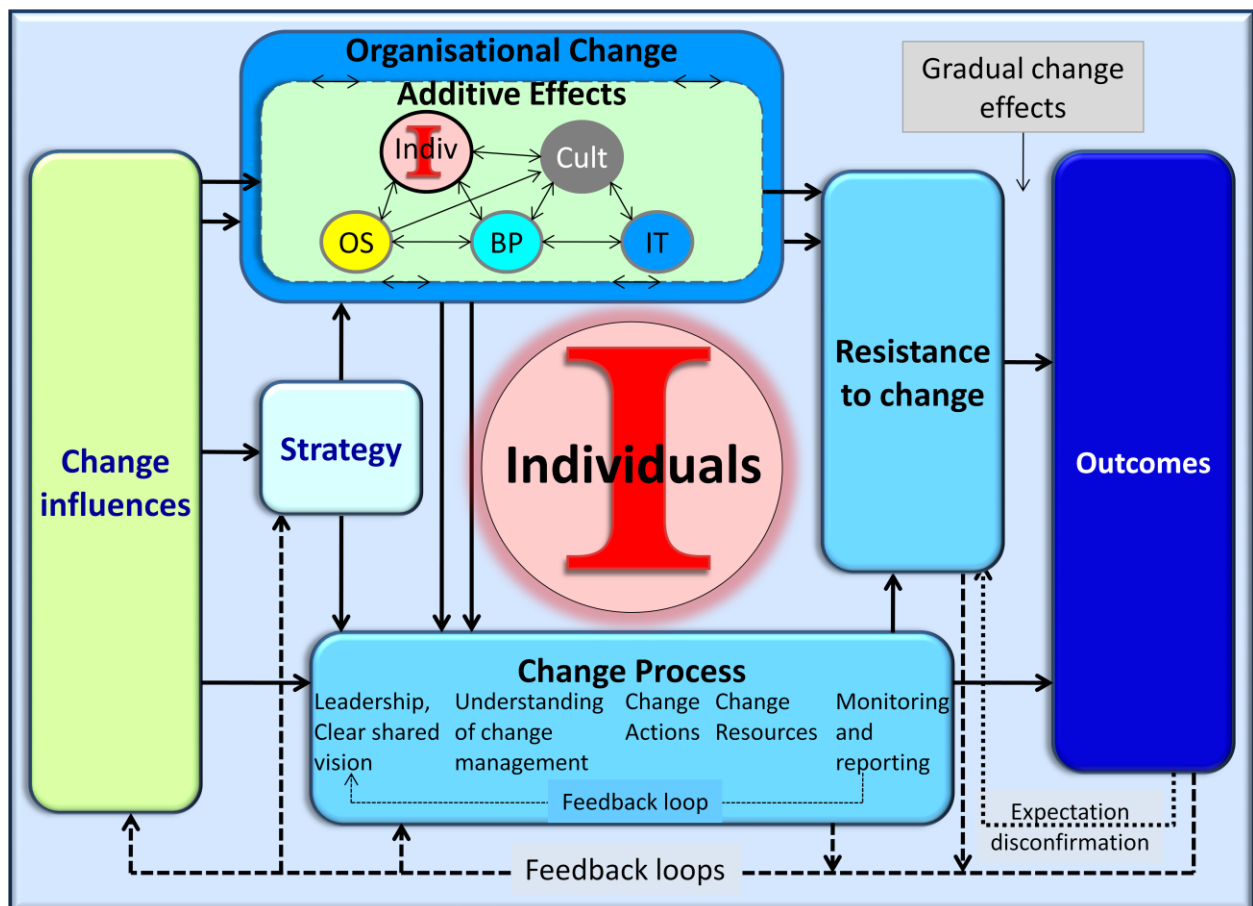


Figure 9: The Change Landscape developed.

Thus, an inconsistent and almost chaotic world faces the individuals who need to counter this with open and unthreatening **conversations** and **feedback**, in both formal and informal settings. Change can grow “organically, one conversation at a time”, until “it becomes like a bacterial life-form, unexpectedly swelling here and recoiling there in response to social, technical, economic and cultural events” (Denning, 2010b, pp. 1-2). **Conversations** and **feedback** between individuals are shaped by, and in turn, shape culture with its historical norms, values, and assumptions. Culture can introduce fears and anxieties such as fears of exclusion and antagonism between groups and needing to abandon long held values. The efforts of individuals to conduct **conversations** (and give **feedback**) about change takes place in a context of an organisational structure with its designated reporting lines, levels of management and departments which can help or hinder individuals in their decisions on the change process. Change can be facilitated and enabled by IT and business processes, and they can provide the means for individuals to conduct **conversations** and give **feedback**. Whilst the individuals’

understanding of the change game is imperfect, they can identify the other individuals. To call it a game gives an inkling of the randomly iterative nature of Change. The categories of culture, organisational structure, business processes, information technology and individuals work in conjunction with each other in an additive manner to impact ultimately on the change process and change outcomes. The process does not depend on clearly stated causalities and is constantly in need of reassessment as the consequences unfold. These consequences are modified by the additive effects, gradual change effects and feedback loops.

6.2. DEMONSTRATING USE OF THE LANDSCAPE (SO WHAT?)

Whetten (1989) stated that frameworks (and landscapes) often obfuscate rather than clarify issues, and proposed questions to assist in defining a landscape. Chapter seven answers five of Whetten's questions. The 'So What?' and 'Who Cares?' questions, are covered in this chapter. As the 'So What?' question asks for a demonstration of the landscape, the landscape will now be used to examine four change projects (Transformation, RFJ, AIMS, and PeopleSoft) raised by respondents. The outcome of the project of Transformation is intangible and difficult to assess. The next project, RFJ, is a human resources project (Angus65) and, whilst it is easier to assess the outcome, is still relatively intangible. The outcomes of the remaining two projects, AIMS and PeopleSoft are more tangible and more relevant to the IS professional. Nevertheless, there are lessons to be learnt by the IS professional in all four projects. Please note that some of the quotations used earlier may be repeated.

Additive effects

It will be clear from the following discussion that no category in the landscape can be discussed in isolation. Nearly all the discussion requires reference to two or more categories in conjunction with each other.

6.2.1. Transformation

Transformation has been defined in the latest UCT Strategic Plan as the "Transformation of UCT Towards Non-Racialism – Redress, Diversity, Inclusiveness and the Recognition of African Voices"

(UCTStratPlan, 2009, p. 8). Transformation is extremely important at UCT (Els2), and aims to change past injustices and create an open inclusive culture.

All UCTs Vice-Chancellors since the mid 1990's have publically committed to transform the institution. One of the respondents outlined how several vice chancellors and deputy vice chancellors have attempted to introduce Transformation and says: *"more than ever before, [the current vice chancellor's] success or failure as VC is going to be determined by progress or otherwise made re transformation"* (Ervin29).

6.2.1.1. *Current status of project*

Transformation was and is part of UCTs strategic plans, (UCTStratPlan, 2009), and a strategic objective of the University Quality Improvement plan (UNIQIP, 2009). Well-meaning strategic plans for transformation have been developed and refined for many years. These plans have been described as "profound statements of intent [which] set out clear targets for achieving racial equity commitments, especially among staff" (Jansen, 2009a, p. 17).

No direct questions were asked about transformation, sexism or racism, and the words were not on any of the pages presented at the interviews. Nevertheless, most of the respondents raised the issue of transformation in their interviews. It is of note that the respondents focused on transformation of staff and said little about the students. Respondents also said little about "growing our own academics" or "an enhanced focus of our intellectual enterprise on African perspectives" – both terms from the strategic plan (UCTStratPlan, 2009).

The dimensions of the properties of sexism, exclusion, and PASS Academic divide all indicate that these are still a major problem in the university. There still appears to be fear and tension on the campus amongst the staff, and some of this has been caused by the transformation initiative (Ervin25, Euan102). One respondent suggested that the transformation *"policies created fear in UCT and suddenly I started feeling invisible in meetings, People started shunning me, I was not given opportunities"*

(Alistair38). There are still tensions between PASS staff members and academics although this relationship is referred to in the strategic plan (UCTStratPlan, 2009, p. 9).

One of the key elements of Transformation is racism. Racism is present at UCT. Far from rectifying the situation, the initiative seems, to some extent, to have aggravated the situation and there is said to be a *“lot of race implicated pandering”* (Penny30), and people being *“targeted as racists”* (Andrew96). There is still *“everyday racism, discrimination, institutionalised violation of people’s rights”* (Prue49), and despite there being *“no overt racism at UCT, there are practices within the university that reflect racism in an indirect manner”* (Abi60). Several of the respondents narrated stories of the impact of racist attitudes. Despite the efforts people still *“feel alienated and not totally comfortable”* (Ervin40).

Andrew80 correctly points out that the problems of transformation are *“more devious than simple racism.”* *“Transformation is also about respect for genders”* (Alistair65). This aspect of Transformation was more difficult to evaluate. One reason was that black females tend to see themselves as blacks first and females second (Abi20), and that it is *“not a gender thing, more of a racial thing”* (Alice29).

Another reason is that discussion of sexism (and racism) at higher levels such as at Senate seems isolated from the very real anxiety and fear experienced by those excluded at lower levels. They appear to be *“doing Transformation at a high level, not in day-to-day lives of academics and students”* (Abi13). It is essential for leaders in higher education in South Africa to recognise the distance between blacks and whites, and to *“understand the enormous tension, pain, aggravation and bitterness that continues to exist on campuses across this country”* (McEvoy, 2010, p. 1).

An example of this apparent isolation of Senate is taken from the senate document PC10 of 2010. This document reflects the discussion of a Senate meeting held in October 2010, and relates the comments of two female professors that they still find Senate an intimidating and a difficult space for women. This was in answer to the question, *“Is Senate a barrier to transformation?”* asked by the Vice-Chancellor. They were joined by another female professor in commenting that the contributions of

women to debate did not receive the same attention in the minutes of Senate meetings, as did the contributions of men. The discussion then expanded to include another female professor and a black professor, who made the point that Senate had a hidden culture and had hidden rules. This is not surprising given that the senate is still a body comprised largely of white male professors. The senate went on to express the hope that the situation would improve over time. This comment seems a little complacent despite the comment in PC10 that there was little room for complacency. It is interesting to note that the PC10 minutes state, the Senate had lost a quorum by the time the discussion started; the demographic composition of Senate was 73% males, and 80% whites. No actions were tabled.

It is notable that UCT continues to employ disproportionate numbers of white male academics, and does not ensure that appointments advance equity goals (Evan40, Pam127). The key committees still are made up of mostly white males (Abi30). It seems that Transformation has not reached tipping point, in that there is no critical mass of blacks or females (Abi99). Even the student body, SASCO say that *“UCTs transformation initiatives are meaningless”* (Evan45).

It is no wonder that *“many feel the changes in attitude are not genuine”* (Alistair46). The discussion at higher level seems to be more concerned with numbers, rather than attitudes and feelings and is still not addressing the *“glaring abuses of people”* (Andrew93). There are a number of individuals at UCT who do take transformation seriously, and think it’s more than simply getting numbers right, *“Transformation is not simply ticking boxes”* (Evan32).

There seemed to be consensus that little progress had been made in transformation (Alistair50, Elsi3). Despite her understanding of *“transformation as bringing equality into race and gender”* Alice7 *“does not see it happening at UCT”*. However, this is a difficult long-term problem and *“the kinds of changes we need are not going to happen overnight”* (Pam69).

6.2.1.2. Application of the landscape to an understanding of the outcome of the project

The Transformation project is on-going and has not been judged successful at this stage. Some of the reasons for this can be established by applying the change management landscape. The first aspects that were apparent were strategy, and the change process.

Strategy

The UCT strategic plan, as approved by Council (2 December 2009) does set out clear strategies for Transformation, although the emphasis is on racism rather than sexism. The key goal is to achieve a more representative demographic profile in the staff and student bodies. It goes on to say that the transformed university will be one which no longer holds stereotypical views of others based on their gender, race or disability. It also addresses historical power relationships of which various forms of discrimination are symptoms.

The important point that the strategic plan makes is that intervention along race, gender and disability lines is necessary. This intervention is one of the ways in which the university is failing. As will be seen as the discussion progresses, insufficient account has been taken of the categories of the change management model, and so effective intervention is not taking place. There is clearly little feedback from lower levels to enable refinement of the strategy. The frustration and anger being experienced does not seem to be apparent to bodies such as the Senate. Because of the ongoing subtle resistance from senior managers and academics, continual corrective action is needed in leadership, expression of the vision and provision of change resources. This can be facilitated by feedback from on-going monitoring and reporting on the change process.

Change process

Leadership is the first aspect of the process, and is important to gaining commitment to change and maintaining the momentum of that change. It is of note that many of the senior managers of the university are white males. Despite this, the vice-chancellor has shown some leadership in the setting

and promotion of a strategy and in the change process. A distressing aspect is that it appears that the vice-chancellor believes transformation is more of a student issue than a staff issue. In a report on a debate between two vice-chancellors, Dr. Price mentioned transforming students twice as often as he mentioned transforming staff (McEvoy, 2010). One of the ways in which the initiative is failing is in the limited acceptance of leadership roles at lower levels. Whilst the strategy might set out the intention of the initiative, and there might be a clear vision and high level leadership, the change process also needs to be led at lower levels.

Connected to leadership in the change management landscape is a clear-shared vision. The vision of transformation is influenced by the aims set. It seems that *“part of the problem is that the aims have not been thought through and not communicated properly”* (Abi15). In the senate circular PC05 circulated in May 2010, it was noted that although the University did not specify numerical targets in the strategic plan, the University did have a target of what the demographic distribution was to which it aspired, although there was no date set for this. This target focused more strongly on students than staff. The aims present *“a very superficial view, talk about changing student and staff demographics, but don’t talk about changing people’s views or attitudes”* (Abi12). Other deliverables decided on were *“to institute training for selection committee chairs to balance the weak base from transformation reps, and to train EE [employment equity] reps”* (Evan41).

That resources have not been made available is a handicap, and positions such as that of Transformation Officer were created and closed in at least two faculties *“due to lack of funds”* (Els11). This is additive, in that it supports the contention that there is little local leadership and that budgets can influence organisational change.

Some monitoring was introduced in the change process at a local level by those few who undertook to do something about the Transformation process (Els17). For a brief period in 2008, all appointments were monitored by a DVC. There is now some monitoring of appointments above a certain level by the DVC Transformation (Evan43), but it does appear that too little monitoring is taking place. This supports

the view that too little feedback is reaching higher levels. If there is little monitoring, it is likely that there will be little feedback.

The change process has been severely distorted at lower levels and *“much of transformation seems to be snooping and investigating, not sure of its true purpose”* (Andrew94). This has created a situation where staff members have become *“very disillusioned, feels like an absolute waste of time, it is never going to happen because whites remain in power, and they find blacks who toe the line”* (Prue68).

Resistance to change

The discussion so far makes it unsurprising that there is resistance to the change process. This resistance is strongly influenced by the culture of the organisation. That there is resistance to this change is evident. While *“Transformation is spoken about and bandied about, but there is so much resistance it doesn’t really happen”* (Abi14). One campaign against sexism was stopped, as it was felt that white males were being targeted as sexist. The person running the campaign *“ran up against the establishment”* (Elsi12). Another form of resistance is from those who are dissatisfied with the university (expectation disconfirmation arising from Transformation) are largely apathetic. They put up with the lack of progress regarding Transformation, they do not like it, and they do little about it. They are actually entrenching gradual change effects. It appears that transformation has been covertly resisted ensuring modest advancement. One clear example of the way transformation is being resisted is the manipulation of selection committees, discussed under Individuals.

Culture

Even though there is a need to recruit more people from disadvantaged groups, the culture would also need to be changed to enable them to fit in. There is a need *“to bring on board people from designated groups who are good and who have potential, also need to create conditions which will allow them to feel at home and to feel comfortable”* (Ervin37). Whilst some effort is being devoted to creating those conditions, the comments on this effort are mixed. One such effort was the Khuluma project.

The culture of UCT plays an important role in change and *“is, by far, the single most important player in transformation”* (Evan35). The exclusion and bullying associated with racism (and sexism for that matter) is entrenched. It is clear that the advice of Pam121 needs to be taken to heart: *“To address the problems of the past, we need to have conversations about race openly.”* In order to do this, the Khuluma project was set up. Khuluma was a voluntary transformation workshop for all staff that aimed at opening people to more inclusive attitudes and behaviours. Those who commented on Khuluma conceded that it was *“a great idea”* but felt that *“it stopped there, it never went further”* (Evan46), as it is largely preaching to the converted (Evan48) and, it *“has softened attitudes, but not sure if attitudes are sincere”* (Alistair44). The Khuluma project has however, slowly stopped, and no staff have attended a workshop for over 2 years, an example of the gradual effect of exhaustion (Streeck & Thelen, 2005).

Organisation Structure

There should be structures in place to oversee transformation, such as a Deputy Vice-Chancellor responsible for overseeing transformation at institutional level; an Equity Manager who is responsible for monitoring staff demographics; and a Transformation Manager who focuses on programmes to change the institutional ‘climate’. At faculty level, there should be Transformation Officers and Committees that report to the Dean and the Equity Manager, and within the department of Human Resources, there should be a Recruitment Officer who oversees both the recruitment and interview process with a focus on meeting equity targets (Ismail, 2011, p. 3). This situation could be viewed as the **gradual change** effect of exhaustion taking place. Exhaustion is the breakdown of practices, behaviours, or institutions over time. This is shown by the organisational structure that was intended to support Transformation, not being maintained (no faculty currently has a transformation officer), and by business processes and information systems not accommodating the requirements of Transformation.

As will be seen, structure does not always produce the required results. One aspect of this is that there has been interference from senior individuals in the transformation process.

Individuals

It is worrying that senior managers interfere in the progress towards Transformation. A case of sexual harassment at the university was being conducted according to correct procedures, when a senior manager brought about an action *“which resulted in the entire process being thrown out – this is just one example of extreme interference”* (Elsi42).

In June 2009, a Dean cancelled an open meeting called by a Faculty transformation committee and unilaterally replaced the chair of the committee with immediate effect. The message sent out to staff was that open meetings to discuss issues such as transformation were not tolerated. People do not speak openly about transformation, but it does need to be discussed openly (Alistair53). This is evidence of the effect of the gradual change effects of displacement in the Transformation change process. It may be that there is a rear-guard action taking place among the white male managers, and producing displacement which is defined as slowly increasing activation and assimilation of subordinate, latent or deviant practices, behaviours or institutions.

Most of the respondents felt that transformation was someone else's responsibility (note the additive effect with accountability). Only two of the respondents indicated that they had taken any personal responsibility for transformation (Elsi4, Prue15). This subjected one of them to opposition, and she found that, despite her efforts, *“scant attention [was paid] to sexual harassment”* (Elsi12). Others spoke abstractly of who could lead transformation (Pam135). It appears that the university managers and senior staff members have *“not been taking transformation seriously enough”* (Ervin32).

It is disheartening to hear that the various representatives appointed to monitor employment equity (EE reps) are seen to be powerless and *“beholden to HoD, and often can't find the power to speak up”* (Elsi22). Faculties seem to create and then do away with the post of Transformation officer (Ean62), it seems that not enough was budgeted for transformation (Prue101).

It has been evident that the abuse of power in selection committees, and in making recommendations on promotions has negatively influenced transformation. There were numerous strong comments on this aspect of the change management landscape.

The Strategic Plan identified an action to “Modify staff selection procedures” (UCTStratPlan, 2009, p. 11). Problems with staff recruitment and selection are also listed in the Quality Improvement plan as “major problems to be addressed” (UNIQUIP, 2009, p. 13).

It is notable that most of the executives commented unfavourably on selection committees. One commented that *“sitting on selection committees has made a mark on me, hearing the arguments and justifications, and seeing the weakness of the centre”* (Evan40). Selection committees show a reality which is *“different to what one would hope to see”* (Ervin35). Another executive was negative about selection committees but did admit that she *“was a dissenter on a selection committee, fortunately with some power”* (Elsi21). Executives usually do not feel powerless to change things in organisations, but one senses a certain inability of executives to bring about transformation at UCT through the selection committees. UCT needs to change from a situation where they *“hired who they wanted, no measurements, no accountability”* (Ean10) and follow correct audited recruitment and selection procedures (Penny58, Pippa103). A number of respondents confirmed that selection committees are not functioning equitably, and are not supporting transformation. They confirmed that the selection process is *“unbelievable”* (Angus44), *“frustrating”* (Prue42), and do not do their job correctly (Pippa54).

My personal experience on selection committees sadly backs these statements up. I was called upon to serve on a selection committee as a substitute in the final stages of the process. The chair outlined the three main selection criteria for the position, informed the meeting that two candidates had made it through the selection process to the interview stage. After the interviews, it seemed obvious to me which candidate should be selected as only one (X), satisfied all three selection criteria. The second candidate (Y) did not satisfy any of the criteria, so I was interested as to how Y had made it to the interview. Before I had an opportunity to speak, one of the executives stated the case for Y; how Y

would be a good fit culturally, and “would hit the ground running.” Immediately thereafter, a second executive stated their agreement that Y was the person for the position. No mention was made of the three criteria for the position by either executive. The remainder of the committee then backed Y. When I questioned how Y could be appointed based on the selection criteria, and insisted on the meeting following correct procedures, the meeting was adjourned. The following morning the meeting was reconvened, and one of the executives stated that they had done some independent reference checking on X and this had in fact turned out positive. After much discussion, and argument, the committee finally decided to appoint X, but I believe had I not intervened, Y would have been selected. It appeared to me that the main criterion for the selection of Y was that she was white, while X was not. This is further evidence of the gradual change effect of drift or displacement in the Transformation change process. Selection committees are being used to entrench the existing situation, and prevent change.

Information Systems and Business Processes

It was interesting to note that “*BPs undermine transformation*” (Prue32). Business processes and functions of the PeopleSoft and SAP systems which were identified by respondents as being anti-transformational included student registration (Andrew122, Ervin107), staff selection (Abi46, Angus44, Evan42), grievance procedures (Alice20, Prue100), promotions (Andrew77), RFJ (Angus65, Elsi44, Paul105), financial (Angus85), and HR processes (Penny44, Andrew46).

Feedback loops

There are few opportunities for staff (and students) to give feedback. Students have taken it upon themselves to arrange open meetings on transformation in 2011. The question however, is to whom should the feedback be directed? There is no single owner of the Transformation project, and there does not appear to be a clear vision with measurable outcomes.

6.2.2. Rate-for-job (RFJ)

The rate-for-job (RFJ) initiative aimed to link pay to performance at UCT through performance appraisals. The criteria for RFJ were determined by Senate, while Council determined the pay policy, and

the pay terms are negotiated annually with the representative trade unions. The evaluation process or performance appraisals are carried out by management. Nearly all the respondents expressed strong negative feelings about the performance appraisal process at UCT.

6.2.2.1. Current status of project

The RFJ system is on-going, but the current system was reviewed by a task team appointed by Senate in 2008, which reported to Senate in 2010 (PC06). There was little indication in the review that the task team was aware of any strong negative feelings towards the system. There was acceptance that there was a lack of flexibility in the current performance criteria and that this constrained the heads of department and staff members.

In November 2010 a policy framework focusing mainly on performance criteria was issued. This framework listed the criteria developed in consultation with Deans and Faculty Boards. These criteria took the form of a generic framework accompanied by a set of faculty-specific criteria. This was intended to provide the necessary flexibility. It is notable that Deans were required to advise heads of departments on performance expectations and performance levels, and of allowable nuances in applying the performance criteria. Heads of department could only make recommendations to the Dean, and this had to be supported by relevant documentation. The policy framework also addressed the way the evaluation is to be conducted, but this mainly addressed aspects such as timing of the review, and meetings in respect of guidance and underperformance. The RFJ project has however reached a tipping point, in that the RFJ is operating, and staff have little option but to accept the system, as it is likely to continue to operate for the foreseeable future.

In March 2011, the Faculty Board of the Faculty of Commerce voted to change the Accounting Department into a College, with the proviso that the achievement of such was dependent on the Faculty Board's ratification of revised RFJ performance requirements and evaluation conditions for prospective College members. The underlying motive appears to be to allow Accounting academics who have failed to publish research, to be appraised differently, to have a different set of RFJ criteria.

6.2.2.2. *Application of the landscape to an understanding of the outcome of the project*

The landscape identified several additive reasons for the difference between the view of the system at high levels, and the strongly expressed emotions at lower levels. Unlike Transformation where the emotions were expressed by those who want Transformation to succeed, the emotions expressed here were clearly expressions of resistance.

Change process and resistance to change

A number of academics agreed that objectives are not clear, measurable (Aidan68, Alice30, Andrew39, Angus46), or consistent (Alistair29). This problem seems strange given that the Senate task team spent considerable time conferring with Deans on performance measures. One possible reason for this view is that the *“measurables are clear, but not discussed in open forum”* (Alistair27). This is supported by the view that the process *“is smoke and mirrors”* (Andrew50). This lack of openness could generate some resistance. A reason for the lack of openness is that HoDs have not been trained to conduct performance appraisals (Angus38).

A further interesting aspect of detachment from the staff is evidenced by an approach from a Professor to Senate on 08 September 2010. The Professor was concerned about the lack of RFJ performance criteria to promote Transformation, she argued, and proposed that these should be included in the RFJ. Of particular interest is that the response from two white male professors was that this would be *“insulting to HoDs, superfluous and likely to result in reduced transparency.”* Consequently, *“there was little support for the proposal.”* It is interesting to note that there was support for the professor’s view from an executive respondent who felt that *“senior staff should have it in their RFJ – chaired x selection committees, why were so many opportunities for EE missed?”* (Elsi23).

The next problem can be viewed as change actions within the change management process, influenced by lack of openness and resistance to change triggered by attitudes to accountability, poor

management training, and the trend to managerialism. These are surely complex additive effects. There is also evidence of the gradual change effect of displacement.

Another point to note is that the performance appraisal is also used to decide increases, although in an apparently arbitrary way. This is one reason they have *“caused so much anger and resentment”* (Angus65). The view seems to be that UCT uses *“RFJ as a stick to punish people”* (Elsi44) or as a *“whipping tool”* (Alistair28). If the RFJ is the basis for increases it is odd that one respondent *“did not have a formal performance appraisal in all my time at UCT, not sure if one was done for me”* (Alice31). It does seem that the *“performance appraisal exercise is riddled with problems”* (Angus39).

A further reason for the resistance to the RFJ is the general resistance to managerialism. There were comments that commercial practices do not work in a University environment (Andrew42), and that the way universities are increasingly *“run in business terms of efficiency and effectiveness”* is *“alien to academics”* (Alec25). Many staff, although they do not approve of or accept the RFJ, accept the RFJ and do nothing about it. By apathetic and silent behaviour, gradual change effects are entrenched.

The next factor touches on the PASS academic divide but is mainly to do with resistance to change triggered by poor change actions. Some of the objection from PASS staff members arises from the design and use of the appraisal. One objection was that *“as long as one can tick a box one meets the requirements”* (Paul104). This objection is strongly expressed as *“let’s simply put a number on a form, rather than setting out actual objectives, and doing a good performance appraisal. Dichotomy – what we are actually doing and what we put on the forms. Question how much it reflects the true picture”* (Peigi35-36). Despite these comments, one felt that *“often performance management sessions are just feely, feely sort of sessions”* (Pam52). The general impression from PASS staff members is that the *“performance appraisal is a farce”* (Peigi32).

Individuals

As with the academics, the PASS staff members felt that managers *“need training on how to deal with poor performance, not to give up on poor performers”* (Pippa57), and that they are *“sometimes reluctant to confront staff on performance issues”* (Pam53). Paul104 adds that performance appraisals are *“the most de-motivating process at UCT.”* This comment points to a level of expectation disconfirmation and possible future resistance to change.

These objections are specific to administration which is surprising as the report from the review committee focused entirely on academic staff members. Does Senate think that there are no problems with the process in administration? It is clear that the process is flawed and that the *“RFJ- must recognise that one size does not fit all”* (Ean101).

Feedback Loops

A question which arises is why isn't anything done about all the issues raised? One answer is that there is little opportunity for open conversation about the RFJ project so there is little opportunity to give feedback. Secondly, as with Transformation, there is no clearly identifiable owner of the RFJ project, so who would receive the feedback if there were any?

6.2.3. AIMS

The objective of the Audit and Integration of Management Systems (AIMS) project was to improve management systems and business processes. A committee, the Operations Management Advisory Group (OpsMag) was created in 2001 to oversee and *“derive further benefits from our huge investment in the Audit and Integration of Management Systems”* and to continue to bring about sustainable efficiency across UCT (VCs Report, 2001).

There was an admission that *“admin BPs are better than used to be,”* and that they *“still have a way to go”* (Aidan69). It was agreed that *“BPs are not properly defined”* (Ean85), and that *“business processes are severally lacking at UCT”* (Alistair66). Paul1 opened his interview with the statement, *“my main problem is no coherence of business process to ensure that UCT runs efficiently.”*

6.2.3.1. *Current status of project*

There is evidence of a *“whole lot of different systems, all stand alone”* and these defy *“any principle of good BP – each unit has own BPs”* (Peigi2-3).

Recent complaints about various processes have been noted. The first is a letter of complaint, dated 4 June 2011, from a head student of a residence about the long-winded process of appointing a new warden. The letter queries progress, and wonders what process should be followed and if, in fact, this process is being followed. A student complained to me in March 2011 that, despite the PeopleSoft system which can produce a student’s transcript almost instantly, UCTs process force students to stand in three queues over a minimum of four days to obtain such a transcript. The problem lies in cumbersome business process, as attested to by Angus55, *“Drama, and paper work to get money out of one’s research account, makes one feel like a schoolboy.”*

An interesting complaint is that many processes are not properly documented (Andrew63, Pam56) and thus the situation is created in which the organisation has to rely on conversations drawn from imperfect institutional memory (Euan96, Pam57).

There is scope for better business process management, and to *“reduce our paper load”* (Pippa74). However, despite the potential for BPR and business process innovation to produce efficiency as discussed in the literature review, UCT has had limited success in achieving efficiency in its processes particularly at a time when student numbers are increasing.

There were strong emotions expressed about the amount of paperwork and forms, and that *“people try to bypass them or ignore them – many are counterproductive”* (Peigi17). Pam92 felt that UCT is *“Still running essentially a paper based system, turnaround times are too long, too paper based.”* The view was that there seemed to be no will to do anything about it (Angus99, Pat60). Supporting the view that there seems to be no will to improve processes is the comment that the *“fact that deliverables emerge at glacial pace does not seem to be a problem”* (Aidan128).

Throughput time was commented on by several respondents particularly in respect of registration, and on the costs caused by poor processes in terms of both increased staff (Peigi13), and replication of business processes (Ean92). It is clear that *“there is a rigidity in student management which can be problematic”* (Andrew99). This is a source of strong complaints from students as the registration *“system is extremely frustrating for them”* (Peigi22). Whilst the PeopleSoft system is capable of reducing throughput time and errors in student registration, the difficulty is clearly in the way the processes have been left to operate around the system. This is one of the strongest examples of gradual change effects in all the projects. There is evidence of displacement in the activation of deviant practices such as attempting to retain power by introducing paperwork to what could be an automated system. It is a case of *“actual objectives thwarted by little kingdoms based on forms – which ensure they keep power”* (Peigi12). A number of existing practices are being retained through drift and the retention of old practices are resulting in ambiguity and compromises (conversion).

Personal experience bears this out. My daughter was prevented from graduating with her classmates due to an error made in registering her in her second year of a four-year law degree. A student advisor (a Professor in the faculty) crossed out a course my daughter had selected and substituted it with another course (BP). The Dean of the faculty counter signed the form (Individual – Accountability). Each subsequent year that my daughter registered, a student advisor and the Dean had to check and sign her forms (BP and Accountability). In the fourth quarter of my daughters final year, it was discovered that in order to graduate she should in fact have completed the course which had been crossed out. The Dean assured my daughter that this would not be a major issue, and that he would arrange a concession as it was a university error (Conversation). The Dean failed to arrange a concession; the matter went up to the vice-chancellors office and my daughter was forced to do an additional course and graduate six months later.

The AIMS project has not reached any tipping point. In fact, it is invisible. The project has been signed off and the IT specialists have gone home, but IS is still involved. It appears that many key

processes such as student registration, staff selection and others mentioned above have still not been effectively addressed. Comments on the AIMS exercise are mixed. One can conclude that the AIMS BPR exercise achieved some of its goals *“admin BPs are better than used to be, but still have a way to go”* (Aidan69), but not a total integration of management systems in that *“there are no linkages, no integrated co-ordinated system(s) at UCT”* (Peigi1). The situation with business processes is summed up as *“only a fool would say there are no problems in BPs at UCT”* (Pam89).

6.2.3.2. *Application of the landscape to an understanding of the outcome of the project*

As discussed in the literature review, Abdolvand, Albadvi, and Ferdowsi (2008) identified five groups of factors that encourage, and one that discourages organisational readiness to introduce BPR. It is notable that the university is lacking in a number of the elements of these factors. Apart from a general resistance to change engendered by the culture in particular, there have been negative comments on the leadership of projects, and a lack of shared vision. The culture tends to restrict confidence, trust and cooperation. There is a clear lack of understanding of and sympathy towards BPR and BPM. There are clear problems with the performance measurement system and employee empowerment. Finally, there is little link between IT and business processes.

Strategy

Although no longer a specific item in the Strategic Plan, the development and improvement of several business processes are integral to the plan (UCTStratPlan, 2009). Point seven of goal five speaks about transforming the student experience and improving support for students. Although several of the respondents commented on the impact of BPs on student experience, none linked it to the strategic plan. The respondents were of the opinion that no clear strategic plan for BPs had been communicated.

The strategic importance of business processes was emphasised by the comment that the *“University cannot function and prosper without effective Business Processes”* (Ean22). It is of note that there have been significant strategic changes at UCT, yet there is little evidence that the BPs have been

examined to ascertain if they need to be changed to support the strategy. When changes take place that affect organisations, there is a need to align procedures and processes to support those changes (Marks, 2007; Rosemann & de Bruin, 2005). The view of business processes is that they are *“all paper based and [their] purpose is to serve individual business units, not UCT as a whole”* (Peigi56-57).

The respondents were not aware of individuals dedicated to BPs. The general view was that *“business processes are severally lacking at UCT. No department looks after them”* (Alistair65). One process about which much frustration was expressed was the registration process and the view was that *“the same people have been making decisions around our registration processes for years and they still don’t work properly”* (Andrew122). It would be difficult to set up any feedback mechanisms in this project, as there would be no individual to act on them.

Change process

It was mentioned in the discussion of the status of the AIMS project that people modify or retain aspects of business processes in order to retain power (Peigi12). A similar view is that *“as soon as someone tries to change a business process to make it more efficient, somebody will resist as somebody will lose power/authority”* (Paul5). The additive effect combines resistance to change with the need to retain power, and uses the gradual change effects of drift and conversion to entrench processes that support power.

One aspect of resistance to change is subtle and invidious. The factors behind this resistance are several. A university (and many professional bureaucracies) tend to have a silo structure. Each faculty and each academic and administrative department tends to stand alone, and UCT has not discouraged this (Euan38). There is an unequal power distribution, and there are pockets of small-minded power in each silo (Paul3). As nothing can be done about the system itself, the answer to retaining power and status is to change the processes around the system. There are many examples of this with one even pointing to the Registrar, who insisted on retaining the student number system he developed when PeopleSoft was introduced. The result was that UCT *“customise system [PepleSoft] instead of changing*

our BPs” (Aidan102). The question is, how can this happen? The answer is that the AIMS project did not work, and the university does not speak nor understand “business process” (Ean23), so there is ample scope for individuals to fiddle with the procedures, forms, etc. and create little kingdoms for themselves (Peigi12). These are classic gradual change effects.

In an Australian survey on BPM, resistance to change was identified as a major issue (De Bruin, 2007). Academics that are change resistant *“can really cause strife when changing admin BPs”* (Aidan88). Staff members have shown resistance to changes in business processes, and it was felt that *“there is a lot of inertia with respect to BPs, partly resistance to change, partly lack of ability to deliver”* (Pat71). This inertia was felt to prevail at all levels, and even overall there does not seem to be *“the political will or desire to make it happen”* (Angus99).

Culture

Apart from the desire to retain the status quo, culture can play a role in how people gather information, and in how they analyse and understand reality and concepts such as BPs (Aneas & Sandín, 2009). Of particular interest is the view that the culture of the university is not conducive to business processes and that there is a *“profound cultural mismatch between the idea of University as a cultural organisation and the idea of BP”* (Ean21).

The historical collegial culture of the university reduces the readiness of the organisation to address BPs. Not only is business processing *“seen as horrific managerialism by many academics”* (Aidan 65), but also there is a resistance as it *“does not use collegial language, so incorrect language for University”* (Ean26). It seems that *“many academics see this [AIMS] as what broke the collegial model”* (Aidan18).

An interesting additive effect is that reported in the discussion on business process quality. There were views that race somehow had something to do with poor standards in processes (Abi45, Penny41) and others that suggested that the PASS – Academic divide had something to do with it (Angus93, Peigi63).

Organisational structure

The Organisational Structure results in business processes being managed by activity or by department, rather than as integrated, efficient processes, resulting in duplicated effort, increased costs, and slower throughput. It has been shown that the university has a number of silos and inappropriate reporting lines. Consequently *“BPs should be all interlocked, UCT silos them, and this is wrong (Ean55). The way the departments are structured means “workers have no idea what’s happening outside their departments ... how anything works” (Pippa34), and that “many managers of administration departments focus on activities not on outcomes or deliverables” (Aidan127).*

To make business processes work, the organisation needs to *“redefine roles and responsibilities so that managers oversee processes instead of activities” (Hammer, 2007, p. 111).* The AIMS project had formally defined roles and responsibilities, but the project implementers lacked power, and so these roles and responsibilities were *“not enforced or mandated in any way” (Aidan64).* There was an attempt *“at one stage tried to make Administrative processes more integrated” (Alec9),* but all that happened is that the discussions *“repeat same issues again and again” (Pippa19).* This has obstructed the operation of Business Processes between departments (Ean54-58, Euan38). The outcome is an interesting reflection on additive effects, and in that poor business processes result in *“more forms, more staff, more autonomy, more independence and more power” (Peigi46).*

Information Systems

Information systems should work closely with business processes. Implementing ERP systems can lead to an improvement in business processes within a university (Yakovlev, 2002). Despite installing two ERPs, there are still complaints about the business processes at UCT (Peigi23, Alistair68, Pat60, Angus54). Frustration at this situation was evident and it was commented *“Comes back to our bold claims of being a leading institution – should we still be so paper based?” (Pam94).* The relationship between business processes and PeopleSoft will be discussed in more detail in the next section.

Some of the respondents state that UCT's BPs are not workflow enabled, but felt they should be (Aidan110). They questioned why UCT does not use workflow as it is part of ERP applications such as PeopleSoft and SAP, which UCT has installed (Pat64), and ask "*are we scared to use technology or are we too conservative?*" (Peigi75).

Individuals

It was interesting that not a lot was said about the impact of decision making, accountability, and training on BPM. It seems that there is not enough effort and resources put into BPM and this results in a degree of apathy. Part of this is due to insufficient budget for the AIMS project (Prue101), and part of this is due to a general lack of understanding of business processes among academics (Ean23). In addition, many of the managers, especially HoDs do not appear to have the ability to work with BPs (Pat71).

Organisational readiness for business processes is enhanced by sufficient clarity in responsibilities to be able to empower employees and reward performance (Abdolvand, Albadvi, & Ferdowsi, 2008; Hammer, 2007). There was insufficient accountability and responsibility given to people to get processes to work (Angus9, Ean77).

Among the factors that can encourage organisational readiness for BPs are open communication and the constructive use of ideas, friendly interactions and trust (Abdolvand, Albadvi, & Ferdowsi, 2008). Unclear or lack of conversations held back the successful implementation of Business Processes (Ean23). There were indications that discussions and explanations of business processes were not clear (Euan46), and not transparent and open (Andrew58-59).

The dominant gradual change effect in this project is drift which reflects how the existing processes remain entrenched despite changing circumstances through either neglect or lack of 'maintenance'.

Feedback Loops

The AIMS project is officially over, and there is no owner or keeper of Business Processes, no department accountable. Like Transformation and the RFJ, there is limited opportunity for open conversation about the AIMS project. What makes the situation worse is that most people at UCT do not understand the language of business processes, and there are no benchmarks against which to assess any processes. In this situation, there are simply no feedback loops.

6.2.4. PeopleSoft

The objective of the PeopleSoft project (actually Oracle Student System) was to create an integrated student information system. Although not a specific item in the Strategic Plan, the exploitation and use of technologies are mentioned. The comments from respondents were similar to their comments on BPs, no clear strategic plan, poor communication, issues with the individuals allocated to IT, at least two separate independent structures, no clear ownership, and after many years little change, again reflecting the gradual change effect of drift.

6.2.4.1. Current status of project

Although the PeopleSoft system is functioning, there were a number of complaints about the system. The respondents did not trust the system and suggested that one *“can’t rely on information obtained from PeopleSoft”* (Paul43), and there was an expressed need to *“keep hardcopies of everything as can’t be sure of PeopleSoft”* (Penny50).

Another common complaint was that the PeopleSoft system was not useful. Some of the complaints were quite forceful and one contended *“Processes are so complex (eg Peoplesoft), this puts pressure on PASS”* (Peigi65). Despite announcing, an on-line application process for students, and the claim that the process will be quicker, applications were still very slow at the beginning of 2011, and registration remained paper based. As will be discussed below, the reasons are primarily to do with business processes but the view was that UCT *“shouldn’t be putting our customers (students) through a full day to*

register” (Pam89-90). Other factors influencing the poor view of the system include data capturing by untrained personnel with too few checks, and the potential for fraud (Paul 46-54).

There are needs that are unfulfilled such as the desire to *“send students an SMS”* (Paul22), and other enhancements such as *“been requesting the change of curriculum to be done electronically since 2006”* (Paul33). Another complaint is that the system is not customisable (Aidan105), or user friendly (Penny51), and it is difficult to *“get suitable reports from PeopleSoft”* (Pippa99). Staff have to *“load information onto PeopleSoft, then download into Excel so can manipulate and see it in a useable form”* (Penny48).

PeopleSoft has however reached a technical tipping point (if one may call it that). What is meant by this is that the system is operating technically, and the users have no option but to accept the system as it is unlikely to be switched off in the near future. Incidentally, once the tipping point has been reached, it does not mean that resistance stops.

6.2.4.2. Application of the landscape to an understanding of the outcome of the project

Change process

There seems to be no leadership or vision for PeopleSoft (or other applications), *“no one has unambiguous ownership over a system, who owns SAP or PeopleSoft?”* (Ean60). In addition, as with AIMS, there does not seem to be the will to invest time or effort in the system and *“UCT is not prepared to develop PeopleSoft”* (Paul33). There is *“no excuse not to be electronic”* (Peigi58) in the face of worldwide trends in universities. UCT is not *“taking functional benefits from systems for which we have paid”* (Aidan188), such as the workflow and self-service modules (Aidan112-115).

It is notable that the most negative comments on PeopleSoft came from academics (Angus67 and 83, Aidan100-106, Andrew101). The executives and PASS staff were generally not resisting PeopleSoft

but seeking improvements. The view was that *“when we make claims of how good we are, we need to ensure we have good processes and systems to back this up”* (Pam76).

A form of resistance was generated by a lack of trust where *“if we have a situation where PeopleSoft information differs from the paper form, then paper form takes preference over PeopleSoft”* (Paul32). There was some resistance to using PeopleSoft correctly, and to attending training, and *“staff were told to follow the old processes and ignore new processes”* (Aidan97). By resisting training, staff entrenched gradual change effects. This has resulted in management setting up a policy that made log on rights *“dependent on person having attended PeopleSoft training in last 3 months”* (Euan85). One could argue that there is some impact of culture on PeopleSoft, but the evidence is too thin. One respondent did ask *“are we scared to use technology or are we too conservative?”* (Peigi75).

Organisational structure

What does cause problems in managing and maintaining PeopleSoft is that there are several semi-independent IT departments (Peigi4, Pat21), *“each responsible for own areas, no one is responsible for upgrades, for overall control”* (Ean62). Independent IT departments have certain advantages such as responsiveness and control of priorities, but issues such as integration, quality control, standards, duplication and synergy need to be carefully managed possibly through a federal structure (Ward & Peppard, 2002). The disadvantage is that there is no single owner of PeopleSoft at UCT (Ean60), and *“there is an overlap of functions ... no one is responsible for upgrades, for overall control”* (Ean62). This situation means that no one is in a position to take a leadership role. To compound this problem, it was noted that the IT project committee had not met for seven months (Pat38), and this lack of conversations prevented change.

Business Processes

When an organisation purchases and installs an ERP, the application usually includes well-defined integrated business processes to which the organisation could conform (Fadel, Tanniru, & Weisband, 2005; Idorn, 2008; Kroenke, 2007; Yakovlev, 2002). The organisation may either have to change its way

of doing business to fit that of the ERP, or it may need to change the ERP to fit its business processes (Hayes & Utecht, 2009). It seems that UCT has chosen to take the latter route in many cases. It seemed strange to a respondent that the university would *“buy an ERP with the best business practice, and then try and change the system?”* (Aidan110).

The usual approach in UCT is to *“customise the system instead of changing our BPs”* (Aidan106). PeopleSoft was extensively customised, for example UCT insisted on incorporating its unique overt 9-digit student identification number rather than accepting the PeopleSoft’s secure identification numbers. This is another example of the gradual change effect of drift. An ERP can hinder, rather than facilitate change as it may reinforce out-dated processes (Grotevant, 1998).

This is a problem for change as BPs should reinforce change by aligning components of the system to the intended outcome (Cantara, Deitert, Rosser, Norton, & McCoy, 2007). There were complaints of different, stand-alone systems, which are not linked (Penny45, Peigi2). One department *“always felt they were different (and were allowed to be) and therefore use different systems”* (Pat21). There was also the problem of running *“PeopleSoft in parallel to paper based systems”* (Peigi75).

Individuals

The independence of IT departments has been mentioned. Further compounding the problem is that management are *“not prepared to develop PeopleSoft. Not prepared to spend money on it”* (Paul33).

Several commented on the lack of training (Pippa64), inability to deliver (Pat71), and lack of motivation to help (Paul58). The contention was that *“few people know how PeopleSoft works at UCT, even those who know are not helpful, and they tell the staff they are too busy”* (Paul39). Many staff resist training, and *“will not go to briefing sessions, training”* (Aidan90), thereby entrenching these gradual change effects.

Feedback Loops

As with the AIMS project, it would be difficult if not pointless to set up feedback mechanisms for PeopleSoft, as there would be no-one to act on them. As there are two departments running PeopleSoft, there is no single owner to appeal to. Besides, there appears to be no vision for the PeopleSoft system so there are no benchmarks to assess the system against. Like AIMS, there is also little opportunity for open conversation about the PeopleSoft project.

6.2.5. In summary

When embarking upon a change, the change influences should first be examined and understood. A strategy then needs to be prepared which takes cognisance of the other categories in the landscape. The change process should then begin with the appointment of a change leader who espouses a clear vision. The change leader must ensure that all individuals understand and hopefully share the vision. Individuals must be recognised, as being at the centre of the change, open conversations about the change must be facilitated, and clear easy feedback mechanisms must be in place. The process must have clear change actions and resources, must be monitored and openly reported on. The leader must expect, find, and confront resistance to the change, while ensuring that feedback loops remain open. Categories such as culture, structure, BPs, and IT must be continually assessed and modified as necessary, as must the change itself.

6.3. IMPLICATIONS FOR IS (WHO CARES?)

The literature review referred to practitioners being mystified as to which approach to take in specific situations (Franken, Edwards, & Lambert, 2009). This is similar to the confusion facing IS personnel when they have to decide on an approach for implementing or changing a system.

IS can learn lessons from all four of the projects discussed. None of the projects can be said to be very successful, and all four projects seem leaderless and aimless (pun intended). All change projects require leadership, with a clear-shared vision.

A change initiative such as Transformation may seem very far from the domain of the IS specialist. However, the fear, anxiety, anger, and resentment generated by racism, sexism, bullying and exclusion, and by the way the Transformation initiative is being handled (and for that matter RFJ and AIMS) surely influences the willingness of staff to change. Perceived failure or non-achievement of any major project in an organisation causes expectation disconfirmation, and resistance to change for other projects. When the expectations of many staff have not been met such as in the transformation project, this can create a distrust of, and resistance to any future change initiatives, and can lead to reduced staff performance (Liao, Chen, & Yen, 2009). Reduced performances should become apparent through outcomes of the RFJ process, and this may cause further expectation disconfirmation. This cycle of project outcomes continually being below expectation, leads to resistance to change, and the gradual effect is one that staff tend to resist almost all change. IS practitioners who are continually introducing change, need to be aware of this cycle, and perhaps aim for small successes to overcome it.

Using the landscape IS, and management can see what they need to be aware of, and what should be in place prior to implementing a change. They need to be aware that the individual is central to all change, and thus need to ensure that individuals can have open conversations about the change, and that clear easy feedback mechanisms are in place. Apart from the major aspects such as strategy, they should beware of the expectation disconfirmation, and the gradual change effects which are present in the organisation.

Resistance to change is always present and can take many forms. In the Transformation initiative, anger was expressed by those who wanted the change. Resistance to transformation was calculated and covert; this is evidenced in the way selection committees are manipulated. In the RFJ project, the resistance was emotionally based. Resistance to AIMS and PeopleSoft was partly due to attempts to retain power at low levels, and partly ignorance. Although the first two projects are not IS related, it is clear that there is an underlying level of resistance, frustration, and anger, which will influence all projects. *"The levels of frustration are phenomenal"* (Andrew53).

From the literature, it is not always the case that information systems are implemented because of strategy. Information systems can create new emergent strategies. The lack of an IT plan means that there is little change being provoked by IT in the university. Strategy on its own is not enough, clear shared vision, and, especially, local leaders and taking account of feedback are essential.

It is important that leadership permeates the organisation. A single leader at the top is not always sufficient, particularly in an organisation such as a university, with its cultural differences between administration and academics. Far too few lower level managers took on responsibility for change; perhaps this was due to lack of vision. IS needs to take responsibility and play a leadership role for change.

Change actions and resources should be in place, but this is not always the case due to budgets and power differences. Transformation officers lacked power and were often not in place due to funds. Lack of resources appears to have held back most of the projects.

Little attention was paid to conversations in all four projects. The different project facilitators and even the high-level management seemed not to be aware that open conversation is a critical element to success. Conversations can be a way of facilitating feedback and reducing resistance to change. Conversations, especially meetings, are a forum for establishing and maintaining power.

A silo based organisational structure impacts mostly on business processes but had impacts on the implementation processes of IS projects such as PeopleSoft. IS should always question if the structures need to be changed in line with any proposed change.

A middle level of management seemed to cause problems due to lack of training and management ability, and due to their holding on to power.

The change process is distorted because of culture which is somewhat entrenched, and this tends to militate against change of this nature. The power, influence, and credibility of staff in an organisation

can be undermined by the biases of others to gender and race. These biases can become systemic and accepted, and not open to examination (Ng, 1993). Even projects such as Khuluma, did not seem to help, as it seems there were doubts about the sincerity of the participants.

A lack of coordination between BPs and information systems can hamper transformation. There is a close relationship between business processes and information systems. Poor business processes can cause even a fully functional IS system to fail. The poor results of AIMS merely add to the level of frustration in trying to get PeopleSoft to work.

Gradual change effects are subtle and can be undetected for long periods, yet they can cause damage. There needs to be structures of accountability and responsibility in order to monitor and act on feedback mechanisms.

The bottom line from an IS perspective, is that for each proposed change, IS should understand the change influences present, question the appropriateness of the strategy, change process, culture, organisational structure, business processes and IT. IS should make it clear that each of these aspects may need to be changed in order for successful change to take place. IS should do this by engaging in conversations with individuals in the organisation, and should take a leadership role in change.

Chapter 7 : Conclusions

The case study investigated and developed a landscape from an IS perspective of how a university (UCT) manages change through a case study. The concluding chapter contains four sections, firstly a summary of the research, then a summary of the results, followed by a discussion including lessons that can be learnt from the research, and finally recommendations.

7.1. SUMMARY

The aim of the research was to **explore what is** happening with respect to change in UCT, and **how does** this change affect those involved, viewed from an IS standpoint. The rationale was to contribute to the exploration of the implications of managing people, technology, processes, and information (information systems) at a large, diverse, changing African university in a dynamic environment by creating a landscape which could then be explained.

Chapter 2 sourced literature from a wide range of articles in the fields of Information Systems, Organisational Change, and Higher Education, arranged it into themes and generated ten questions (§2.11).

An interpretivist ontology and epistemology with a qualitative approach were used as outlined in Chapter 3 (Table 6). A case study was used to explore change management at UCT. The grounded theory method was used to analyse the data, and develop the landscape. A model of the research process followed was presented in Figure 7.

Chapter 4 contextualised UCT along the lines of the research questions, and the analysis and results were presented in Chapter 5. The key finding is that it is the individual, who is central to change in universities (and, it is submitted, to organisations in general). Individuals facilitate permanent and ongoing change through their conversations and actions. No single individual or group of individuals are in control of the destiny of an organisation. Instead, change takes places continually and organically, and is not always defined by high-level strategies. Management and IS should appreciate and understand

the change influences present in an organisation, and should question the appropriateness of the strategy, change process, culture, organisational structure, business processes and IT. Each of these aspects may need to be changed in order for successful change to take place.

A landscape was developed in Chapter 6 from the analysis. An evaluation and application of the landscape to four change projects at UCT was done in Chapter 6.

7.2. BRIEF ANSWERS TO THE QUESTIONS ASKED

This research was concerned with determining how change is managed at a University, and how the change affects the employees of the University from an Information Systems (IS) perspective. Hopefully the thesis has answered the questions in some detail, but the ten research questions (which can be drawn from the landscape) are repeated with brief answers to each for UCT.

1. **What are the *change influences*** which contribute positively or negatively to the implementation of change? In a South African university setting, external factors such as massification, managerialism, transformation, and IT have contributed both positively by introducing change, and negatively by hardening attitudes and resistance to change. These factors, plus internal factors such as feedback from previous changes influences all subsequent changes. Respondents had low expectations of change initiatives (expectation-disconfirmation), and this can create distrust of, and resistance to any future change initiatives. IS and management should be aware of these change influences and how they may contribute to the implementation of any change.
2. **How does the organisation generate, communicate, and implement change *strategies*?** It was unclear exactly how UCT generates change strategies, (top-down, bottom-up or a hybrid). This leads to unclear communication and implementation, as the changes did not have clear leaders (or owners). Implementation of strategy does not appear to be monitored, and so not all managers adhere to the strategies. UCT needs individuals who think and act systemically for each change strategy, and who are then able to communicate and implement the strategy.

3. **How does** the organisation conduct and institutionalise the **change process**? Respondents indicated that UCT does not have a clear change process, and that all sectors of the university harbour some resistance to change. Unbiased leaders who can communicate a clear understanding of the reason for and the nature of the change, and who facilitate training and open feedback can help overcome this uncertainty and resistance. Sufficient resources need to be allocated for a change to be successful. Successful project implementation could break the cycle of expectation disconfirmation, and reduce resistance to change.
4. **How do culture** and dimensions of culture affect change processes in the organisation? UCT appears to have a change-averse culture according to respondents. Furthermore, respondents raised issues regarding racism, sexism, exclusion, bullying, high power distance, and high uncertainty avoidance. Culture can support or hinder change, there appears to be a need to initiate a change in the culture.
5. **What are** the effects of **organisational structures** on change? Bureaucracies such as UCT tend to hinder communication and change, and respondents felt the structure created change resistant silos. UCT needs to create structures which include clear responsibility for change.
6. **How do business processes** influence change? Business processes can influence organisations to become more efficient, agile and of higher quality, or they can stifle change by entrenching existing processes. Respondents felt that business processes at UCT were slowed down by the organisational structure, and by being so paper-based.
7. **How does** the organisation use **IT** to contribute to change? There is a need for a clear plan aligned with UCT's strategy (as identified by ICTS Department), and for the systems to be integrated. Although some systems are efficient and effective, all systems need to be more flexible and innovative. Respondents felt that UCT should use IT to encourage innovation and change.
8. **How do individual** staff influence, shape, and respond to planned change? Individuals influence or are influenced by issues such as conversations, power, decisions, budgets, performance

appraisals, management skills, training, and staff development and succession. All of these issues shape change in an organisation to varying degrees. Respondents indicated a need for more open communications and improved committees. Some respondents felt that the power and budget structures stifled change. Lack of management skills, lack of accountability and insufficient staff development were seen to impede change.

9. **How do** small *incremental changes* affect a managed change project? Gradual change continually takes place during a project implementation as described by Streeck and Thelen (2005). The internal forces of individuals, culture, organisational structure, business processes and IT work in conjunction with each other in an additive manner to impact on the change process and change outcomes. These forces should be constantly monitored as the consequences of their interactions are continually modified by the additive effects, gradual change effects and feedback loops. These gradual changes can subvert projects by breaking down new practices or procedures, and slowly reverting back to existing procedures. The PeopleSoft project demonstrated displacement (deviant practices) and layering (modifying the system to fit old practices). Management and IS should ensure that continual assessment takes place through planned feedback loops.
10. **What are** the effects of the *outcomes* of a planned change? A great deal depends on how the users accept the outcomes. If the users accept the outcomes as useful, meaningful, or significant to their requirements, the change will be viewed as a success. Respondents generally were unhappy with the outcomes of the four planned change initiatives they raised. Unsuccessful outcomes create expectation disconfirmation, which in turn creates resistance to future changes.

7.3. DISCUSSION

7.3.1. Methodological reflection

Reflecting on the methodology, I believe that the case study and grounded theory method provided enough nuances to address all relevant perspectives. One difficulty encountered was ascertaining the point of theoretical saturation. Although I listed and tried to reduce my personal biases through reflection (§1.7), there might be instances where they played a part in the methodology. Using Hofstede's dimensions, I believe that my scores would be the exact opposite of UCT's scores, in that I have low Power Distance (PD), Uncertainty Avoidance (UA), Masculinity (MAS), and high Individualism (IND). As a result, I may have placed more emphasis on these tensions than had I had similar cultural views. I am very individualistic and do not belong to any union or organisational group, and I find collegiality difficult to deal with, as a result I may have downplayed such issues. Similarly, I embrace uncertainty, and ambiguity, and may not have listened as closely to those I deemed high in PD, MAS, UA and low in IND.

Thick descriptions of organisations such as universities are often confusing, but "the irony is that this confusion in the observer's report testifies to its authenticity and not to its sloppiness" (Weick, 1979, p. 11). The next section uses Whetten's (1989) framework to evaluate the landscape developed.

7.3.2. What Constitutes a Theoretical Contribution?

Whetten (1989) refers to the building blocks of theory development and states that to be complete a theory must contain four elements. The first of these, in answer to the question 'What' asks which factors (variables, categories, and concepts) should logically be included in the landscape. Whetten does not clearly differentiate between a model, a landscape and a theory, and the terms are used interchangeably.

This research did not set out to develop a grand theory nor did it set out to use any underlying grand theory such as those of Giddens, Foucault, or Bourdieu. What was derived was a landscape, which has some elements of Llewelyn's (2003) third level (conceptualization) in that it developed ten categories,

which enabled the practical discussion of change in organisations. However, the landscape aspires to be a practical model that is useable in change management in a variety of organisational contexts, particularly in those organisations that Mitzberg (1979) referred to as 'professional bureaucracies'. For this reason a theory at Llewelyn's (2003) fourth level (context-bound theorizing of settings) was developed. It can thus be referred to as a context-bound theory or landscape, as it is set in a particular context, and attempts to create meaning by explaining and exploring the relationships between phenomena in their social settings. This landscape seeks explanation of how particular contexts for activity are socially organised, in particular the way in which agents pursue or obstruct change (Llewelyn, 2003). The primary setting here is the university but it can be argued that the landscape can have applications in schools, hospitals, and even workplaces.

The analysis of the data enabled the 'distillation' of ten relevant categories. Whetten (1989) suggests two criteria to judge whether the right factors have been included. These are comprehensiveness and parsimony. Not only does there not appear to be any change situation that cannot be catered for by the ten categories but, as is evident from the next section, there does not appear to be a case for excluding any of the factors.

Under the heading of 'How' Whetten (1989) suggests that the model should explain how the factors are related to each other in terms of patterns and causality. A landscape was developed that detailed how the categories are linked in an understandable way.

Whetten (1989) further presented seven questions for evaluating theoretical contributions. These questions are, What's new? So what? Why so? Well done? Done well? Why now? and Who cares? The 'So what' and 'Who cares' questions were covered in sections 6.2 and 6.3 respectively. The remaining questions underlie the following discussion, and will be mentioned where relevant.

7.3.3. Key Features and Key Contribution of Theory (What's new?)

Whetten's question 'What's new?' asks how different the theory is from current thinking, and what contribution does it make? The derived landscape combines the theory of change as structured and following a clear programme, with the theories that change is fluid.

The change management landscape developed can be compared to Scott Morton's (1991) framework (Figure 1). Scott Morton's framework states that one of the central tasks of senior management is to ensure that the organisation accomplishes its change objectives by maintaining the dynamic equilibrium among eight forces (strategy, structure, technology, processes, individuals and roles, culture, external socioeconomic environment, and external technological environment). If there is a change in any one of the eight forces, the other forces are affected and intervention is required (Scott Morton, 1991). Scott Morton's model assumes that the forces are in a stable situation that is then disrupted by a change, and once adjusted the forces return to a stable state. The landscape derived takes the view that change is not static (Streeck & Thelen, 2005; Tsoukas & Chia, 2002; Weick, 2000), that there is never a stable situation, that individuals are at the centre of all organisational change, and that all individuals co-create change (Stacey, 2009).

The landscape takes from, and builds on the Hempel and Martinsons (2009) change model (Figure 4). The landscape incorporates feedback loops and contextual factors from the model, but adds by placing the individual in the centre of the landscape. The garbage-can model of organisational choice (Cohen, March, & Olsen, 1972) describes how management make choices and decisions in organisations with high uncertainty such as universities (Tarter & Hoy, 1998). The landscape developed states that Change Influences and Strategy do play a role in change and the Change Process does have some structure. However, the categories of Culture, Organisational Structure, Information Technology, Business Processes, and Individuals impact both directly and indirectly on change. The indirect impact is created and modified by the additive effects (taken from Fernandez and Rainey (2006)), arising from these categories working in conjunction with each other. These additive effects are suggested to be an

innovative way to examine the complex interactions that can occur in change management. The landscape, unlike most change management frameworks, further provides for a sub-category of Resistance to Change, and the interplay between this category and outcomes is influenced by Feedback Loops and Gradual Change Effects.

The landscape does not offer a simplistic paint-by-numbers approach to the management of change in organisations, nor does it offer any simplistic solutions. The landscape accepts de Montaigne's views that similar human behaviour can have a variety of effects on different people, that human actions and behaviours cannot be rationalised into neat theories, and that humans do not obey universal rules (Foglia, 2004).

Features of the landscape are:

- The centrality of individuals. Individuals are the key contributors to and users of organisations, and are thus the key creators and facilitators of change in organisations. "What happens is determined by the interplay of all the intentions of all the groups and individuals" (Stacey, 2009, p. 31).
- Individuals create conversations, and change (and lack of change) takes place through conversations. "The organizational reality is people and the communicative interaction between them through which they accomplish all the good and the bad that they accomplish" (Stacey, 2009, p. 30).
- Culture permeates all change, and influences and is influenced by change (Stacey, 2009). No organisational change can be successful if not aligned with the culture, and some changes may need the culture to be changed (Morgan, Levitt, & Malek, 2007).
- Management (Individuals) need to understand that apparently unrelated issues such as BP and IT are relevant to change (Orlikowski, 1996).
- Strategy in itself does not cause change; it is only an element of change. "At present there is only limited evidence for claims of strategies that lead to improvement" (Stacey, 2009, p. 46).

- All the elements discussed work in collaboration with each other to create additive effects which, together, go beyond the anticipated effects of any one of them. There are thousands of small changes which occur every day, and all of them count (Morgan, Levitt, & Malek, 2007).
- Even though a project may be completed, resistance to change and the subsequent gradual change effects, together with additive effects result in unexpected outcomes.
- The outcomes of any project can influence the success or failure of subsequent projects.

This research contributes to existing research by building on previous research and presenting a landscape of how change occurs in organisations.

7.3.4. Evaluation of Research Quality (Well Done? and Done Well?)

This section addresses Whetten's (1989) questions, Well done? And Done Well? Interpretive research may be evaluated using the seven principles suggested by Klein and Myers (1999). This research was evaluated using these principles in section 3.6.1 (Table 9). Each principle for conducting and evaluating interpretive research was accepted and adhered to.

The criteria developed by Anfara, Brown, and Mangione (2002) to evaluate quantitative and qualitative research quality were used to evaluate this research in section 3.6.2 (Table 10). Thirteen strategies were suggested, and it was recommended that at least two of the seven 'validly' strategies be used in research (Creswell, 1998). Six of the seven validity strategies were employed in the research (Table 10), so the research should be credible, transferable, dependable, and confirmable.

Charmaz (2006) offered eight questions that could be used to evaluate data in a grounded theory study. All eight questions were answered positively in section 3.6.3, so the quality and credibility of the data may be considered as good.

7.3.5. Application to Universities (Why now?)

As outlined in earlier chapters, universities face huge changes at present. There are a number of reasons for this situation. The political and social climate in South Africa is continuing to push for

Transformation of both the staff and student bodies. Student numbers are increasing worldwide, and this, together with changes in funding is pushing universities towards managerialism (Coaldrake & Stedman, 1999; Du Toit, 2007). Universities have to improve access, enhance quality, and cut costs, whilst upgrading information and communication technologies (Gumport, 2000). These are just some of the forces for change facing universities. Any practical model for change that focuses on professional bureaucracies and especially universities must surely be of use at present.

It is contended that management, IS academics and professionals who are interested in areas such as change management, decision-making, HR issues, strategy, and IS management would find this model of interest. The research could also be of interest to executives in universities and other large professional bureaucracies such as hospitals.

7.4. RECOMMENDATIONS

There are two sets of recommendations, the first for policy and practice, and a second for further research.

7.4.1. For Policy and Practice

The recommendation for policy and practice is that individuals be placed in the centre of all change activities and processes. Individuals should be consulted and engaged in as many one-on-one conversations as possible, rather than being grouped in committees and other structures. Courageous individuals who have demonstrated systemic thinking, are prepared to question, and are committed to having open conversations with other individuals should be appointed to lead change projects. It would be a major result if individuals in organisations started to realise and use their power and influence to effect change. This however is unlikely to happen without intervention, such as a serious commitment to enabling open conversation in formal and informal contexts. Organisations need to establish mechanisms to eliminate the fear or anxiety many employees seem to have to speak out. I like the suggestion “that people could learn more effectively if they told stories rather than constructed theories” (Stacey, 2001, p. 125), and I hope that I have helped people tell some of their stories.

7.4.2. For further research

The following recommendations for further research are presented:

- This research came up with a list of key features or claims about change in organisations, future research could prove, disprove, or amend any or all of these claims.
- This research did not address the specific roles management and individuals played in the change process. Further research could attempt to define these roles in terms of issues such as leadership, clear-shared vision for change, contribution, and development of change.
- This research alluded to the power and influence of conversations in organisations. This is an interesting area for future research. Specifically the use of IT (such as email, SMS, blogs etc.) in facilitating and creating conversations, or in limiting and restricting conversations could be addressed.
- This research found that many individuals in organisations felt that someone else had the power, and that their power to make changes was limited. What stops people from asserting themselves in organisations?

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Documents used in this research

Document Title	Source	Citation
About the university	http://www.uct.ac.za/about/intro/statistics/	(About the University, 2008)
Academic HoDs Workshop Aide Memoire	Duncan	(Duncan, 2007)
Commerce Faculty Board Meeting	UCT Commerce Faculty	(FOC, 2010)
Evaluation of Outsourcing at UCT	Vice-Chancellor	(De Nicola & Shisana, 2010)
Executive Dashboard	UCT Institutional Planning Department (IPD)	(IPD, 2009)
Installation Address by Dr Max Price	Institutional Planning Department	(Price, 2008)
Management Accounts for year ending 31 December 2008	UCT Finance Department	(ManagementAccounts, 2009)
Matters Pertaining To Heads of Academic Departments	Registrar	(Moran, 2007)
Report of SEC working group on Departmental Responsibility and authority for disciplines	UCT Senate Executive Committee	(SEC, 2008)
Teaching and learning Report 2008	Institutional Planning Department	(IPD, 2010)
The Strategic Plan for the University of Cape Town (2009-2013).	Institutional Planning Department	(UCTStratPlan, 2009)
UCT ICT Architecture	UCT Strategic Intelligence Workshop	(Brinckmann, 2009)
UCT Institutional Climate Survey	http://www.hall.uct.ac.za/downloads/hall.uct.ac.za/links/ICS2007.pdf	(UCT Institutional Climate Survey, 2007)
UCT report on Research to Senate and Council	Senate	(UCTResearch, 2009)
UCT Report on Senate Attendance Statistics	Senate	(UCTSenate, 2009)
University of Cape Town: Quality Improvement Plan 2007-2010	Institutional Planning Department	(UNIQUEIP, 2009)